

First Data Government Solutions



Deliverable 4 – To Be Model Report

Prepared by First Data Government Solutions, Inc. for

Virginia Department of Social Services Statewide Business Process Reengineering Project July 29, 2005

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1. EXECUTIVE SUMMARY

The Commonwealth of Virginia provided First Data Government Solutions (FDGS) the opportunity to facilitate one of the most significant and widely scoped Business Process Reengineering (BPR) projects ever executed in U. S. public social services. The extent of the reengineering project is demonstrated by the number of programs and functions identified in the project scope. While the RFP soliciting consulting services for the BPR was released under the auspices of the Virginia Department of Social Services, it became apparent early on that BPR was much more than a VDSS project. This project is a partnership among VDSS and the 120 local agencies. The makeup of the BPR Team provides strong evidence to this effect. Nine of the eleven members are on loan from local agencies, full time for the duration of the project. Two members are employees of VDSS and, to emphasize the partnership, the project is co-chaired by an LDSS director and a VDSS division director. It should be noted as well that while not directly involved, the community partners are affected by the outcome of this project to a very great extent. Because the cooperative nature between state and local entities is a cornerstone of the project, it is considered a Virginia Social Services System (VSSS) project rather than just a VDSS project.

The project gave rise to a new business model that will literally change the face of Virginia Social Services and serve as a model nationwide. Taking direction from the business objectives outlined by the Goal 3 Steering Committee and following the FDGS BPR "Progressive Discovery" methodology, the BPR Team closely examined the current business model. They not only documented the manner in which work gets done at all levels of the organization, they performed a Gap Analysis to identify and analyze the barriers and impediments that prevent the VSSS from operating at the optimum level today. The team then identified best practices, performed a critical requirements analysis, identified reengineering targets, established performance expectations, determined how best to remove the impediments, and finally designed the high-level business model. The model includes requirements for business processes as well as automated support, all mapped to BPR Steering Committee objectives, As Is barriers, and core functions. Process flows for the activities defined under each core function have also been provided. The results of the team's structured approach are contained within this document.

The As Is phase of the project revealed an organization that defines itself in programmatic stovepipes. It is heavily reliant on manual processes and paper-based record keeping. Processes are redundant, with like processes having been developed for each program area. For instance, intake occurs in nineteen program areas, but the activities and procedures vary from program to program, thus, the need for nineteen different processes. Further, the Team determined that many of the impediments to performing as desired are related to the nature of relationships. A pervasive lack of trust is evident at all levels of the organization, in state/local relationships, inter-divisional relationships and even peer-to-peer relationships.

To ameliorate the dilemma of the current environment, the BPR Team concentrated on building a model that has the capacity to strengthen relationships and emphasizes communication and a cooperative atmosphere. Four core functions – Strategic **Planning**





and Management, Operations Management, Partnership Development and Consumer Services – provide the pillars for the new model and dramatically simplify the model using a single, integrated business process.

Strategic Planning and Management is focused on long-term planning 5 to 7 years in the future and executive level management of State and local agencies, replacing the reactive nature of today's model. Transparent budgeting and the ability to identify needed changes early on allow VSSS to assess the organization's performance in a meaningful way. From the Commissioner's office to the Director's offices at the localities, this function provides a revised governance structure for VSSS. Within Strategic Planning and Management are four critical activities: Government Relationships, Enterprise Change Management, Budget Planning and Resource Allocation, and Controls and Feedback.

Government Relationships refers to the commitment at all levels of the organization to build inter-related and integrated State and local leadership. The goal is to garner broad-based support for the organization's mission. Relationship building is conducted up and down the organization, horizontally from local agencies to local governmental leaders, and outside the organization to reach the Commonwealth's decision makers.

In this model, Enterprise Change Management holds a position within the highest levels of the organization. This elevated status provides an opportunity for all changes within the organization to be evaluated, planned and prioritized according to the defined business case. The business case provides skilled analysis of a situation. Some of the elements expected in a business case are: the statement of the problem, a proposed solution, a cost benefit analysis of the proposed solution; and alternatives and strengths, weaknesses, opportunities and threats (SWOT) analysis. Execution of change is orchestrated by skilled project managers to balance the change effort with on-going, day-to-day operations. By adding Enterprise Change Management as an integral part of the organization, change is addressed as an ongoing daily task. Small incremental changes are the norm rather than large and difficult projects, which frequently fail.

Budget Planning and Resource Allocation allows forward-looking planned budgeting. This is in contrast to the traditional approach of looking at past expenditures to determine futures spending. The new approach allows executives and managers to plan based on demographic trends and impacts of community circumstances such as business closings. In concert with strategic planning, managers throughout the organization have the opportunities stay ahead of the curve on potential changes in budgetary needs. This activity also includes a component that allows saved dollars from a program area or administrative cost to be "banked" and reallocated and returned to localities for use toward other initiatives.

Controls and feedback loops provide real-time information to decision-makers and allow meaningful risk assessment and mitigation measures at all levels of the organization. Information is obtained from a variety of sources such as cost, performance, financial, and statistical information and used for everything from error prevention activities and audits of State and local adherence to policy, to consumer surveys. The feedback loop provides a mechanism for continuous assessment and planning.





Operations Management covers a range of activities that emphasize partnerships and collaboration. Teams whose members possess strong multi-disciplinary skills work together to assure that the business meets the objectives produced during strategic planning and are added by structured and constant communication among all agency members and partners. A Business Modeling Laboratory provides the cornerstone for policy and systems development, as well as performance analysis and staff growth. Radical departures from today's model, such as a single integrated Policy Manual, enable the significant improvements that can be achieved and reflect a common sense approach to how social services are delivered.

The Business Modeling Laboratory (BML) is a dynamic environment in which virtually every policy change, system development or enhancement, or procedural change is modeled, tested and evaluated before statewide implementation. The potential exists for localities to provide significant contributions to the BML. Volunteer local offices may be recruited for specific initiatives; some localities may house permanent modeling labs.

Many other activities are associated with the BML as well. Policy development is a collaborative effort using dynamic teams of multi-disciplined staff. As policy is developed, modeling scenarios are prepared, system requirements are defined, and impacts on other programmatic features are determined.

Project management is applied to all changes. Professional project managers and business analysts are independent of policy and information technology. Each project is subject to standard project management principles including timelines and due dates, budget and resource allocations; performance measures and lessons learned.

The role of information technology (IT) is as an enabler and provider of tools that support the business environment. IT staff are integral team members in the development and modeling of policy. Single-purpose systems are avoided in favor of tools that can support a number of programs with functionality to support the entire enterprise. Requirements definition is focused on solving business needs with business analysts assigned from concept definition through implementation to ensure proper system design and development to meet these needs.

Human resource management likewise provides support in the Business Operations Management functional area. Inputs such as performance standards and measures, evolving organizational roles and responsibilities, benchmarks, and best practices result in always up to date classifications, job descriptions, and established career paths. Competency requirements are updated for any job classification as new and necessary skills are identified from the BML.

Because the new model requires different skill sets at every level of the organization than those in use today, a significant effort may be needed to provide opportunities for current staff to gain and develop those skills. The effort goes beyond traditional training, and thus, Staff Growth and Development is designed to supplement standard training at all levels of the enterprise. Many staff development needs are addressed using the BML, providing a real-world learning environment that allows staff to understand and support the business model rather than just a particular task.





Accounting management is accomplished with the implementation of an enterprise-wide accounting system that provides assured auditability and transparency throughout the organization – at every level. Traditional programmatic jargon such as benefit issuance and overpayment is replaced with widely accepted accounting terms, accounts payable, accounts receivable and general ledger entries. The accounting system will ensure data that is entered multiple times in multiple systems today is handled and processed once under the new model. Interfaces to systems that have been implemented locally to address county or city requirements are recognized as necessary to protect the local agency investments in these systems.

Information Production, Dissemination and Sharing is a term applied to a series of tasks within the Operations Management function. The new model is heavily dependent upon information, communication and feedback loops to keep staff at every level informed and to support decision-making. Information sharing between partners, information technology staff, and the error prevention function are accomplished using a modern and efficient communications infrastructure.

Partnership Development focuses on using all available resources in meeting the needs of consumers. From a statewide database of services and providers to joint assessment of community needs and collaborative efforts to find and leverage funding, Partnership Development builds the relationships within the VSSS community partnerships and ensures services are targeted to local community needs.

Inclusion of community partners as integral players in meeting the needs of consumers is a keystone of the new model. This function expands and formalizes many of the initiatives that are underway throughout the Commonwealth. Key components include strategic planning for developing new services and expanding capacity in existing services and service level agreements (SLA) that document performance expectations for VSSS as well as the partner agency. Partners and VSSS are gauged on how well they meet the SLA requirements using metrics and benchmarks, and adjustments made on a continuous basis.

Consumer Services concentrate on meeting the needs of consumers who enter VSSS through any of its many doors. Consumers may enter through traditional bricks and mortar facilities, phone, Internet, visits to mobile facilities, or through a community partner. This "no wrong door" approach is supported by the ability of consumers to initiate activity and to manage their information 24x7 with tools that are readily available to consumers in a myriad of day-to-day business transactions.

Consumers' needs are viewed holistically with consideration given not to individuals, but to families and households. An in-depth, interactive assessment is conducted at first contact either as a self-assessment on the Internet or by a highly skilled assessor. A rules-based tool supports the assessment and assists in identifying options for the consumer. Assessment includes consumer education to provide a strong foundation from which consumers' choices can be made. If emergency needs are noted, the ability to address them immediately exists to assure prompt resolution to the most immediate needs. The results of the assessment are reviewed, and consumers' needs are met provided by a cadre of partners with the ability to meet specialized needs, termed the Consumer Services





Coordination Team (CSCT). CSCT members are dynamically chosen based upon the consumer's need and always include the consumer as an equal member. Rather than a separate Benefits and Services structure with many programmatic stovepipes to provide support to the customer, assistance is addressed through three types of Services: Supportive, Protective, and Financial. The consumers' needs for these services drive the composition of the CSCT.

Essential in the model is the ability to collect information about the consumer one time and share it among all the partners who are involved in the Consumer Services Coordination Team. This requires a new tool that has the ability to share information with existing VSSS legacy systems as well as those of the partners. In addition, written information is shared with consumers in the language with which they are most comfortable through the use of automated translation tools, enabling the consumer to "manage his account" with self-directed activities.

This new model is a radical departure from the current environment, but it is certainly not radical in and of itself. It seeks to leverage expertise at every level of the organization and within Virginia's communities. It provides a voice for every consumer and allows him control over his own information. Coordination of services allows a holistic approach to meeting the needs of the consumer, and teamwork assures that each need is met by the most qualified provider.

The Virginia Social Services System has the opportunity to become a national leader in the social services arena. In the next phase of the project, FDGS will assist a subset of individuals from the BPR Team in the development of a change management plan. The plan will focus on prioritizing incremental steps that will lead to an enterprise-wide metamorphosis. The Change Management activity will leave the VSSS with a road map for going forward. It is important that VSSS employees be committed to not just change management but change leadership as well. The To Be business model demands enterprise-wide cultural shifts. Much of the success of the model is dependent upon two factors:

- Is the organization committed to change; and
- Is the organization willing to commit the staff and invest the dollars required to make the transition?

If the answer to both of these questions is an unequivocal "Yes", then Virginia has the potential become a model for the other 49 states and five territories.





2. BACKGROUND INFORMATION

The VSSS realizes that many of their current business processes and social services systems hinder the delivery of services. Various automated systems were designed during the mid- to late 1990's. During this same period, there were a number of program initiatives implemented as well, some of which were not well supported by systems or technology. The number of mandated Federal and State programmatic changes over this length of time, combined with out-dated business practices and technologies have begun to adversely impact today's delivery of Social Services.

Historically, the VSSS has operated to serve the citizens of Virginia with a slow moving, slow to evolve mechanism of change in accordance with its available human, capital and fiscal resources. Clearly, the vision for this project has been imbued with the belief that a significant change is required and with a demonstrated willingness to invest in the Commonwealth's future.

The past decade has produced significant changes in federally mandated programs, revisions in state programs and in technology assisted solutions within Social Services. These have added to, rather than reducing, the level of complexity in carrying out the organization's mission. The VSSS realizes that the Commonwealth will benefit from a business process reengineering effort. The initial task of this reengineering effort's methodology requires a historical perspective on the VSSS and an understanding of the Project's structure and purpose.

2.1. HISTORICAL PERSPECTIVE ON THE BPR PROJECT

2.1.1. VIRGINIA SOCIAL SERVICES SYSTEM BPR PURPOSE

Business Process Reengineering was identified in VSSS's recent Strategic Planning project as a viable strategy for Goal Three of the Strategic Plan, "Improve business productivity through effective automation." The initial phase of this strategy included an analysis of the current environment, processes, activities, and automated support for the various services delivered. The current environment is referred to as the "As-Is" business model. The deliverable report on the As Is business model was accepted by the Goal Three Steering Committee in June 2005. The deliverable fully documented the extent of issues in the current business environment and provided the information required for BPR. The effort allowed the BPR Team and the Goal 3 Steering Committee to understand current practices and technologies that adversely impact the business of Social Services and their operational impacts. Perhaps most importantly, it served to identify and illuminate significant barriers in the current business model that keep the VSSS from achieving its operational objectives.

2.1.2. BPR OBJECTIVES

At the Project Kickoff meeting, managers and steering committee members were asked to identify measurable business objectives for the project. This exercise identified areas in which the steering committee believed VSSS needs to perform better. The purpose of identifying business objective areas and establishing measurable business objectives at the outset of the BPR project was to:

• Provide the BPR Team with guidance and direction





- Establish a vision for future operations
- Support establishment of areas of critical performance within the organization that currently impede the VSSS from achieving the desired results
- Provide a means of determining at each BPR milestone whether the BPR project has achieved the definitive results expected

The Steering Committee established business objectives within six governance arenas to guide the reengineering effort.

- Good Business Process
- Near Optimum Performance
- Good Use of Information/Technology
- Delivering Expected Results/Outcome
- Effectively Managing Cost
- Desired Public Expectations

Business Objective Category	Business Objective
Good Business Process	New processes must be measurable so baselines can be established for future improvements.
	Processes must be simple, resulting in reduced training time to achieve competency.
	Processes must be designed to reduce need for level of supervisory review in today's processes.
	Processes must be designed to reduce staff turnover that is currently based on frustration with process.
	Redesigned process must allow establishment of skill requirements for consumer needs analysis.
Near Optimum Performance	In all programs/services, performance must be demonstrated by immediate responsiveness at the first contact with the consumer.
	Performance measures must be recommended that are commensurate with the value/benefits of the service to the consumer.
	Targets must be set for information gathering timeframes that are as short as redesigned processes might allow – e.g., same day.
	In benefit delivery: VSSS timeliness defined as a maximum of "Within 7 days of receipt of last information."
	More desirable: within 24 hours if all information is available.





Business Objective Category	Business Objective
	Family services: timeliness is 100% in compliance with PIP, with the ability to exceed PIP based as feasible.
	Payments to providers: to meet state standards of maximum 30 days.
Good Use of Information/Technology	All information exchanged with the consumer in their language.
	One set of verifications is sufficient for delivery of any service, and verification is asked for only one time.
	Information is appropriately secure.
	Information is readily available to anyone with a need to know.
	Generally, information not required by law is not requested and stored; except to identify opportunities that might enhance service delivery to the consumer if more information is known during contact.
	Technology should not constrain reengineering recommendations; and, modern enabling tools may permit more aggressive process redesign.
Delivering Expected Results/Outcomes	The "collection of services" is "built" to explore a full range of services for the individual or family.
	Customers are left with the feeling that they have been evaluated for all possible services and benefits.
	Customer satisfaction can be measured.
	Ability must be provided for ongoing re- evaluation of the mechanisms that are supposed to lead to self-sufficiency. The ability must be in place to measure what works or doesn't, and make early adjustments wherever needed.





Effectively Managing Cost	To the extent possible, costs should be net- zero in State and local dollars over the long- term.
	Short-term cost shifts should not constrain redesign.
	Resources can be redeployed to accomplish the reengineered business model.
	The ratio of administrative to services expenditures is improved.
Achieving Desired Public Perception	The community broadly perceives that the VSSS delivers excellent service.
	A greater level of support is provided by the Legislature.
	Less staff/administrative time is spent on negative interactions.
	The community believes that VSSS demonstrates stewardship over resources – the public believes that it is getting a good return on invested tax dollars.

The BPR Steering Committee summarized their direction to the BPR Team as follows:

- The redesign should afford the same "look and feel" to consumers from office to office.
- Don't be constrained by existing parameters or doctrine in the current system.
- Use creativity and innovation in your redesign.
- Don't let these business objectives unnecessarily constrain the Team's recommendations, if something just makes good sense...the Steering Committee would prefer to "reign in" at the end if needed than lose any good ideas.

See Appendix A for the complete Business Objectives Report.

2.1.3. THE BPR TEAM

A Business Process Reengineering Team was appointed to represent the diversity of experience in the Department of Social Services. Team members represent experience in nearly every program covered within the project scope. Members are listed below.

Name	Title	Organization	Programs
Dottie Wells, Co-	Director	DSS	Child Care and
Project Manager			Development
			Division
Buz Cox, Co-Project	Director	Charlottesville	Administration
Manager			
Nancy Jackson	Trainer	Charlottesville	Benefit Programs
Lynn M. Parker	Social Worker II	Norfolk City	CPS
Kathy Neff	Supervisor	Shenandoah County	Foster Care and





Name	Title	Organization	Programs
			Adult Services
Jo Ann Simmons	Human Services	Warrenton Field Office	Foster
	Program Consultant		Care/Adoption
Kim Tapscott	Social Worker	Buckingham County	Services
Bobbi Hossainian	Supervisor	Fairfax County	VIEW
Delores Veal	Benefit Programs Supervisor/ADAPT Trainer	Newport News	Benefit Programs
Nneka Coley	Eligibility Worker	Albemarle County	Medicaid Unit
Jennifer Murray	Business Operations Manager	VSSS	Benefit Programs
George Frazier	Benefit Programs Supervisor	Richmond City	Benefit Programs
Sally McCarthy	Executive Assistant	Pulaski County	Administration

First Data Government Solutions team members bring a variety of relevant experience to the project. Team members have extensive experience in the public sector with a heavy emphasis on social services experience in a variety of states across the nation.

Name	Position	Relevant Experience
Cheryl Baxter	Project Manager	 -23 years social services within a mid-western state -10 years providing reengineering consulting services line level to Administrator level assignments -Project Manager of a statewide FAMIS system
Rita Kidd	Lead Facilitator	 13 years social services administrative experience Led several innovative reengineering-related projects Led development and implementation of a FAMIS pilot system that resulted in a nearly paperless workflow 12 years providing reengineering consulting services
Jonathan Mills	Financial Analyst	20 years experience in public and private sectors Experience in quality assurance and process improvement and cost modeling Experience in improving: product delivery, internal processes and customer satisfaction
Tim Thomas	Technical Analyst	 15 years experience in information technology Experience in management of multiple data systems Served as liaison between users and developers Experience in process improvement, systems integration, and systems modernization.
Gary Harlow	Business Analyst	 -11 + years experience in social services -5 years of local agency benefits delivery experience -4 years of program integrity and training experience. Experience with state integrated eligibility (FAMIS) system in both system and process analysis





Wayne Jones	Business Analyst	 4 years serving public sector agencies. Experience supporting Medicaid integrated eligibility (FAMIS) system development.
		-Extensive experience in analyzing data
John Plewa	Business Analyst	 -25 years of experience in providing business and technical analysis -Experience in process improvement and redesign -Conducted gap analyses -Experience in documenting business and functional requirements

2.1.4. BPR STEERING COMMITTEE

The Goal 3 Committee serves as the Statewide BPR Project Steering Committee and includes representation from DSS, Local DSS offices, the Department of Medical Assistance Services, Virginia Information Technologies Agency, and Community Action Programs. The members of the Steering Committee are found in the following table:

Name	Organization
Ray Goodwin, Co-Chair	Commissioner's Office
Gordon Ragland, Co-Chair	Henrico Department of Social Services
Dottie Wells	VDSS Child Care and Development Division
Kelly Calder	Department of Medical Assistance Services
Morris Campbell	Norfolk Department of Human Services
Victoria Collins	Radford Department of Social Services
Jane Conroy	VA Association of Community Action Programs
Buz Cox	Charlottesville Department of Social Services
Carolyn Gregory-Adams	Greensville/Emporia Department of Social Services
Andrea Hendricks	VDSS Division of Finance
Vickie Johnson-Scott	VDSS Division of Family Service
Carol Keil	Fairfax Department of Social Services
Ron King	Warren Department of Social Services
Steve Lewis	Henrico Department of Social Services
Tom Little	Division of Quality Management
Kim McGaughey	CSA
David Mitchell	VDSS Division of Finance
David Mix	Department of Medical Assistance Services
Libby Mounts	City of Richmond Department of Social Services
Dana Paige	Fairfax Department of Family Services
Debbie Secor	VITA
Duke Storen	VDSS Division of Benefit Programs
Harry Sutton	VDSS Division of Information Systems
Patty Taylor	Department of Medical Assistance Services
Nick Young	VDSS Division of Child Support Enforcement





2.2. THE BPR CHALLENGE FOR GOVERNMENT

It is very difficult for government to keep pace with the private sector in providing leading edge customer service. This is not because government has little desire to provide good service. It is largely because the structure of government demands that internally driven change happen slowly and deliberately. Even the most forward thinking agency executives are subject to cumbersome planning, budget approval and procurement processes. Often plans that are innovative and leading edge at the time of conception are run-of-the-mill or even outdated by the time they come to fruition. Yet the public's expectation for government to keep pace with the private sector continues to grow. Electronic transactions are an everyday occurrence with most constituents. They obtain credit card balances, make reservations, and purchase goods routinely by pressing numbers on the telephone dial pad or with a click of a mouse. They do not willingly accept that government cannot provide the same level of service.

Even when government seeks to make improvements that do not require capital expenditures, managers are challenged. The demands of the day-to-day duties often preclude managers from being able to take the time to assess the manner in which business is conducted and to work with others within the organization to seek significant improvements. Projects such as this one are islands in a sea of good intentions and unrealized incremental efforts at real change. For the most part, reengineering is undertaken with great organizational sacrifice. For an organization to commit its brightest and its best requires no small amount of courage on the part of both State and local agency managers.

2.3. BPR PROJECT SCOPE

The Commonwealth of Virginia has provided First Data Government Solutions (FDGS) the opportunity to facilitate one of the most significant and widely scoped Business Process Reengineering opportunities ever executed in Social Services. The extent of the reengineering project is evidenced by the number of programs and functions identified in the project scope. The BPR Team was directed to review processes at both the state and local levels. The programs within the Reengineering Project's scope included:

• TANF	• VIEW
Child Care	 Food Stamps
 Food Stamps Employment and Training 	Medicaid
Other State Medical Services	 Repatriation
 State and Local Hospitalization 	Auxiliary Grants
 Family and Children's Services 	 Child Protective Services
Foster Care Eligibility	 Adoption Services
 Adult Protective Services 	 Foster Care
Energy Assistance	Adult Services
Refugee Services	General Relief

In addition to the programs cited above, the following three supporting administrative functions were considered critical to desired outcomes:





•	Human Resources
•	Quality Management Evaluation
•	Records Preservation

And, the following twelve common program support functions were integral:

Financial Accounting	Fiscal
Statistical Reporting	Grants Management
 Training 	 Policy Management
 Claims 	 Appeals
Fraud Management	 Forms and Brochure Management
Quality Assurance	Customer Contact

Only the Division of Licensing Programs and the Division of Child Support Enforcement were specifically identified as out of scope; however, interfaces to the processes associated with these programs were examined.

The sheer scope of this project provided opportunities to the VSSS BPR Team that have been unprecedented. More typically a State will carry out reengineering for either the benefit programs side of human services or the child welfare side (with adult programs included in one or the other, depending upon where the components are more closely aligned).

Rather than being daunting in scope, the scope provided the VSSS BPR Team the greatest level of flexibility. As impediments to performance were identified and as opportunities for reengineering emerged, the Team was not hampered by artificial boundaries. Guided by the Steering Team's business objectives and guidance statements, and the unfettered scope of the project, the BPR Team was able to integrate and consolidate workload in a manner not previously assumed to be possible in the public human services arena.

2.4. THE BPR TEAM'S CHALLENGE

Just as the Department is challenged to find better ways of meeting and exceeding consumer expectations, the BPR Team was challenged to focus on the future without consideration of the present.

Typically, BPR teams are segregated, fulltime, with only short forays back into the real work world. This approach is purposeful. Segregating allows for the full focus of the BPR Team to be on the vision for the future. Although the BPR Team was dedicated full-time to the project with only short forays back into the real world, they were constantly challenged to remain focused on the objectives and the vision. It is very difficult to ignore individuals, personalities, and operational impact when all of those things provide constant reminders of what change will mean. The Team was continually challenged to think and plan as managers looking for the best ways possible to streamline processes, reduce handoffs, and remove redundancy, overlap, and non-value-adding processes. They were challenged to





ignore the natural tendency to think about the impact to colleagues rather than what makes business sense in defining process.

2.5. APPROACH SUMMARY

The First Data Government Solutions methodology is one of progressive discovery. Before the task of identifying and redesigning processes, the Team members were led to analyze current business methods in terms of their efficiencies and effectiveness. Additionally, they looked for hidden costs and "sacred cows," or protected areas that rob the agency of critical resources. The Team then identified the barriers in the current environment to meeting the objectives and goals. Finally team members were given extensive reading assignments related to a wide range of best practice both within government and outside.

From that knowledge, the Team was able to develop conceptually a model that could meet the objectives and goals of the project. The conceptual model was then presented to the Goal 3 Steering Committee. The Steering Committee was encouraged to question and challenge the new concepts. Members were asked to redirect the team if the concepts of the model failed to meet the group's expectations. The feedback indicated that the Team's design was well conceived and that the Team should proceed to flesh out the redesigned model. Following that meeting, the Team honed the model to reflect the Steering Committee's input. Once the model was refined, the Team developed standardized business processes that support the model. The focus of the Team was on providing excellence in consumer service, sharing information appropriately, and providing an increased level of internal support for many of the business functions.

The following sections provide an overview of the findings during discovery and the development of the new business model.





3. Business Process Reengineering Approach

3.1. Understanding the Current Model

The VSSS represents a State-supervised, locally administered public social services delivery system. "Locally administered" in the Commonwealth of Virginia includes local departments of social services established within the administrative structure of independent cities as well as counties. In Virginia, there are 95 counties. There are a total of 134 localities inclusive of independent cities. With consolidation of some localities, there are currently 120 local agencies operating in Virginia. Other than the four largest agencies, which range between 300 and 650 employees, local offices are not large in size.

The mission of the State and local partnership is:

"People helping people triumph over poverty, abuse and neglect to shape strong futures for themselves, their families and communities."

This mission statement demonstrates a business philosophy that puts the consumer of VSSS services at the center of its effort to deliver quality benefits and services. The purpose for the As Is analysis is to determine how both partners are impeded by the current business environment in doing just that.

The Virginia State Department of Social Services provides oversight and technical support across a broad spectrum of programs and services. The Department is responsible to an appointed Commissioner level member of the Governor's executive branch. Local social services agencies are responsible for the direct delivery of services at the community level. They perform the day-to-day benefit eligibility and case management, welfare to work functions, and child and family social and protective services. The localities are accountable to the State and federal agencies for carrying out programs and services effectively. This responsibility includes routine statistical and financial reporting to the State to demonstrate that they are performing within established performance standards.

In the VSSS "As-Is" environment, whether at the State level or the local level the concept of "core function," from a management or line perspective is considered equivalent to programmatic functional responsibilities. As noted in the "as-Is" findings, stovepipes have become more important than the enterprise. In the As Is environment, the level of compartmentalization and specialization of services is significant. To make change, then, through normal channels would place the burden for improving operations, whether at the State or local level, in the hands of people who see their own day-to-day functionality as having a meaning greater than the VSSS mission statement.

3.1.1. STAFF INTERVIEWS

The BPR team began its task with interviews of a variety of State management staff. Individuals representing many different divisions and sections within VDSS were invited for interviews to provide the best possible mix of experience and expertise.





Each individual provided an overview of his/her area of responsibility and the BPR Team had opportunities to ask questions of the representatives. The interactive method used in the interviews provided the team with a relatively complete and thorough, though high level, understanding of each area's operations and how each interacts with other areas, outside entities, the consumer, and the public in general.

3.1.2. SITE VISITS AND STAFF OBSERVATIONS

The As Is analysis methodology required BPR Team members to follow the State interviews with visits to more than 30 local agencies for additional input. A variety of visitation methods were employed. Agency walk-throughs, individual interviews, staff observations and employee shadowing all added to a broad-based understanding of the current environment statewide. Care was taken to learn about a variety of programs and job duties. During staff observations, the different types of tasks performed by local staff were documented, along with notes about the time spent on a task and notes as to whether or not the task involved using a computer system to complete the task. This glimpse of "a day in the life" of an employee provided valuable insight into the current business model.

3.1.3. "As Is" FINDINGS

Following these activities, the Team had an opportunity to debrief regarding the information obtained. Lists of best practices, possible innovations, barriers, and matters needing attention were generated. These lists were used extensively in the development of the new model.

From the factual accounts provided by staff and from observing a typical workday in combination with their own knowledge and expertise, Team members were able to synthesize their impressions of the "As Is" model. Current processes were analyzed and evaluated against the project objectives. The Team concluded that the operational "stovepipes" that exist within the VSSS have led to extensive redundancy and multiple versions of nearly every process, task and activity.

During the interviews and observations several conclusions were drawn. In spite of two major, large-scale system development efforts within the last decade, the current business model is driven primarily by paper. Lack of sufficient automated support has led to development of several standalone systems and automated tools. Methods of operation for like processes have been developed independently and separately without regard for the commonality of the process across programs. The observations and conclusions of the Team show an organization that is bogged down by manual and paper processing.

3.1.4. THE EXISTING BUSINESS MODEL

The existing Business Model consists of 20 program-driven business processes, 3 administrative support functions and 12 programmatic support functions. Each business process is a stovepipe or silo, driven by narrow program policy and funding streams. The stovepipe extends, for each, from the consumer or client at the local level to the policy, compliance and financial functions at the State level.





3.1.4.1. <u>Current Service Delivery Standards</u>

Performance standards in the current business model are as they are nationwide throughout the public human services industry. The primary standards for client services that drive VSSS service delivery are Quality Assurance and timeliness. Of these two drivers, Quality Assurance is the most frequently cited control from one program-driven business process to another. Upon further investigation, however, only two programs, Food Stamps and Medicaid, have a bona fide Quality Assurance function. Other programs depend on a less formal control in the way of "case reads." This control varies from program to program, worker to worker, and locality to locality.

3.1.4.2. <u>Information System Support</u>

In spite of considerable expenditure for automation support for VSSS programs and services within the scope of this project, the statewide organization remains largely engaged in labor-intensive, paper-based, and form-driven manual procedures.

The Virginia Social Services System (VSSS) includes approximately 69 automated systems. These systems include many managed by the Virginia Department of Social Services (VDSS) and some that are implemented and managed by local agencies. Information Technology support is provided by the VDSS Division of Information Systems (DIS), the Virginia Information Technology Agency (VITA), and by IT staff at the local agency level.

Due to the nature of VSSS operations – locally administered, centrally supervised – there is a large variance in how information systems are employed throughout the system. While VDSS continues to focus on establishing development standards within the agency, the large number and diversity of technologies in use has limited its effectiveness. Many stovepipe systems are in use with little interaction between them and their system interfaces only exchange data that is federally mandated. Information is shared primarily through hard copy documentation and the re-keying of data.

Current technologies are not applied in a manner that supports improvement of process or performance. Automation has been overlaid on traditional business approaches and time-honored procedure. System development efforts did not leverage system capability to replace repetitive, manual tasks with electronic functionality.

3.1.4.3. Gap Analysis

In spite of good people at both local and state levels who work very hard to provide the best public service possible, VSSS is unable to provide an optimum level of public service due to the constraints of traditional business methods and outdated technology tools.

The BPR Team determined that the gap between the current environment and that envisioned is significant. In identifying the primary reasons for the gap between the current business model and the vision, the BPR team cited the following:

- Extreme dependence on paper to accomplish tasks.
- Lack of uniform performance measures
- Insufficient automated support that has led to numerous workarounds and standalone systems





- Inaccurate/inaccessible data due to the system's inability to share data across the System
- Information is entered and re-entered in different systems causing redundancies and a loss of productivity
- Manual systems have successfully circumvented shortcomings in the system and the cost of the manual processing is a hidden cost to the organization
- Inability to re-deploy resources prevents use of staff to meet temporary needs and causes increased cost in hiring temporary staff
- Lack of cross-training among programs and functions
- A cash management system that is extremely labor intensive and redundant
- A complex IT department is stretched to the limit trying to meet the needs of VDSS
- Comfort with the status quo provides little incentive for change

3.2. As Is Business Model Conclusions

Government services departments are typically faced with operating under the most diverse sets of human circumstances that can be encountered on a daily basis. Adding to the complexity of these situations are challenges of understanding details of policy and procedure in order to serve its citizens.

The current model is not designed to effectively deliver services either at the State or in the localities. Through the years, process has been piled upon process, leaving the entire Virginia Social Services System mired in inefficiency at nearly every level. The effect of this evolution has been a gradual decrease in efficiency that leaves employees struggling to keep up with their workloads, and an organizational structure that relies on supervisors and mid-level managers as the central repository for policy knowledge. Further, time devoted to working in out-dated, highly manual, largely redundant processes results in hidden costs to the agency. That is to say, time is money and time spent in working inefficiently ultimately costs the organization.

3.3. DEVELOPMENT OF A NEW PERSPECTIVE

Following the As Is business analysis, the BPR Team, with nine local and two State representatives, was involved in several "progressive discovery" reengineering activities over a period of eight weeks, from May 23, 2005 through July 15, 2005. This section discusses the scope of the reengineering responsibility conferred on the team and describes, at a high level, the result. Subsequent sections will describe the results at a greater level of detail.

Important insights were gained during the reengineering phase, including:

- Recognition of the control that historical paradigms have on an organization and how those paradigms can become impediments to performance
- The organizational cost of human response to change when resistance results in duplicative and redundant workload
- Recognition of the hidden costs inherent in a labor-intensive, paper-based environment





- The impact of perceptions of vastly diverse missions and information ownership that can
 exist within a single business enterprise and the impact those perceptions can have on
 the organization's business approach and decision-making
- Understanding that information technology is not a silver bullet
- Governance and methods of governance in governments around the globe are universally under review and redesign as we enter the 21st Century

3.3.1. DOCUMENTATION & REVIEW OF BENCHMARK "BEST PRACTICES"

Throughout the reengineering phase, the BPR Team was exposed to a variety of governance and reengineering best practices. Each best practice, whether from the private sector or from other governmental agencies had a common theme: (1) stay focused on the consumer's needs rather than the organization's needs; (2) deliver high quality services to the consumer in the least amount of time; (3) heed the obligation of good governance. The self-study effort included:

- BPR library of books and papers for self-study
- Assigned reading materials
 - Structured literature reviews
 - Group feedback
 - Group discussion
- Internet search Instant access to information
 - State and federal law
 - VDSS regulation and policy
 - Local websites
 - Definitions
 - Additional topical research to augment assigned reading

Each member of the BPR Team reviewed documentation on and presented key points back to the rest of the team for group discussion. Topics included:

- Governance
- Customer Service
- Human Resources Management
- Integration of Services
- Case Management
- Performance/Productivity
- Benchmarking
- Business Case Analysis
- Information Technology Innovation

Please see Appendix B for the papers reviewed and the key points identified by the BPR Team members. Links are provided to these documents. The reading material provided a sound backdrop for performing the next step, a Critical Requirements Analysis.





3.3.2. CRITICAL REQUIREMENTS ANALYSIS

The BPR Team devoted three weeks of the eight-week period to a Critical Requirements Analysis, first identifying "Areas of Critical Performance." In this exercise, the team identified five critical areas preventing the State/local VSSS enterprise from achieving the Steering Committee's business objectives in today's business environment.

3.3.2.1. Critical Performance Areas

These five areas of critical performance that produce impediments to achieving the Steering Committee's business objectives in today' business environment were identified as:

- Communications
- Customer Service
- Human Resources
- Information Technology
- Operations, Policy and Procedure Management

3.3.2.2. Impediments to Performance

The BPR Team evaluated each of the 31 business objectives in the table in Sub-section 4.2 above against each of the five critical areas of performance to identify the major impediments in each area. By the end of the analysis, 596 impediments were identified. Please see Appendix C to review the findings of this exercise.

3.3.3. IDENTIFYING REENGINEERING TARGETS

Defining impediments to achieving the desired level of performance in the current business environment led to identification of major targets for reengineering. Five reengineering targets emerged:

- Provide Excellent Customer Service
- Simplify the Process
- Communicate and Cooperate
- Improve the Use of Technology
- Achieve Full Accountability

3.3.4. ESTABLISHING NEW PERFORMANCE EXPECTATIONS

Based on the Steering Committee's guidance statements and established business objectives for the project, and with support from FDGS, the BPR Team was able to define levels of desired performance by each of the targets listed above. These included:

Provide Excellent Customer Service

- Provide full needs assessment on first contact
- Collect data on the entire Household
- Collate full range of community services for customer
- Provide service in language of the customer
- Create a Service Center of Excellence
 - Standardize, measure, monitor, improve
- Respect the client
- Provide transparency of the customer record





- Facilitate customer control over own data
- Recruit, select, train, and retain staff with the right mix of skills

Simplify the Process

- Eliminate the "stovepipes"
 - Standardize common processes across all programs
- Move from paper to computer-based process
- Provide better business analysis
- Clarify and simplify policy
- Standardize electronic payments

Communicate and Cooperate

- Encourage professional respect among co-workers
- Foster professional relationships through partnering
- Manage conflicts at all levels

Improve the Use of Technology

- Automate existing paper-based processes
- Enable system-to-system communication
- Make existing systems more flexible
- · Mechanize payments with controls and standards
- Provide information security
- Produce required management information

Achieve Full Accountability

- Provide excellent stewardship of tax dollars
- Develop strategic and tactical business plans
- Provide cost-benefit analysis
- Develop a business case for expenditures
- Provide root cause analysis for problems
- Benchmark performance and cost
- Provide auditable system records
- Develop operational standards

3.3.5. REMOVING THE IMPEDIMENTS

Each performance statement was then linked to the appropriate business objectives in order to evaluate how to remove each defined impediment. On this basis, the BPR Team identified changes that would enable the business objectives in Sub-section 4.2, above, to be met. From the changes identified, a high-level business model began to emerge. Refer to Appendix D.

3.3.6. DESIGNING THE HIGH-LEVEL BUSINESS MODEL

The reengineering activities, exercises and group discussion over several weeks provided the framework for defining the High-Level Business Model for the To Be process redesign activities. The following section describes the High-Level Business Model.





4. EMERGENCE OF THE TO BE MODEL

4.1. A BLANK PIECE OF PAPER

First Data Government Solution's philosophy concerning reengineering in a government setting is to educate, challenge, and facilitate, not direct, a BPR Team. By this stage of the BPR effort, the Team members had a heightened sense of the issues, the organization's needs, the Steering Team's business objectives and knowledge of best practices that could be incorporated into a new business model...a business model that just made common sense for VSSS. They fully understood the challenges of implementation, the benefits of success and the costs of the status quo. At the outset, it was clear that the Steering Committee wished to assure the BPR Team was not hindered by inordinate limitations to the project's scope. The BPR Team assumed the charge conferred on it as a serious obligation.

Team members saw a need to use a blank piece of paper approach for important aspects of the governance process. It was their decision to reengineer, completely, the State and local governance approach to Virginia's human services, its methods of administering the services delivered by State and local entities, VSSS's relationship to other community-based providers, and the way VSSS and its partners serve consumers. The entire policy development and implementation and service delivery framework was rethought. Within the reengineered framework, they also saw a need to streamline and improve the day-to-day operational infrastructure to permit line and supervisory staff to perform job assignments more effectively. The BPR Team:

- Condensed changes needed into a single model
- Reflected 21st century business methods
- Remained consumer-centric
- Organized work through communication and cooperation
- Increased VSSS value to the community
- Applied approaches to assure VSSS could:
 - Become a learning organization
 - Measure performance against standards
 - Demonstrate transparency and accountability
 - Meet BPR business objectives

4.1.1. FOUNDATION OF THE NEW MODEL

The foundation of the To Be business model is:

Social Justice for the Consumer

In this context, "social justice" is defined by McGraw-Hill, Higher Education Glossary, as:

"Equitable access to resources and the benefits derived from them; a system that recognizes inalienable rights and adheres to what is fair, honest, and moral."

The context in which the BPR Team applies the term relates to a foundational reengineering concept of "Respect" for the consumer, the taxpayer and the VSSS employee. The To Be





business model is notable for its adherence to principles of self-direction and informed decision-making, combined with a requirement for transparency and accountability.

The To Be Business Model builds on the following:

- Respectful interaction with the consumer at all levels
- Equitable sharing of resources and decision-making
- Informed choices
- Self-selection and direction
- · Receipt of the right services at the right time
- Responsible accountability

4.1.2. STRUCTURE OF THE TO BE MODEL

The BPR Team, believing strongly that a multi-process business model would perpetuate the As Is and continue to impede the ability of the enterprise to carry out its mission, adopted a structure for the To Be model that is a single business process.

They described this as a single seamless, transparent process focused on the consumer. They further defined the single process as having a limited number of core functions with several underlying, inter-related activities.

This is a marked deviation from the 20+ programmatic stovepipes plus twelve support stovepipes in the As Is, with four to fourteen core functions in each. A fuller discussion of the To Be business model and its core functions is included in Section 5. This high-level overview of the To Be model's four core functions and 22 business activities is to give context to the discussion that follows.

Strategic Planning and Management

- Governmental relationships
- Enterprise Change Management
 - Operational Business Objectives
 - Operational goals
 - Tactical planning and prioritization
- Budget planning & resource allocation
- · Controls and feedback
 - Monitoring and Review
 - Performance Management & Reporting
 - Accountability

Operations Management

- Business Modeling Laboratory (Integrated policy and operational modalities)
 - Benchmarking & best practices
 - Business case analysis
 - Policy development
 - Project planning and management
 - Human resource management
 - Staff growth and development





- Information production, dissemination & sharing (includes an outreach component)
 - Error prevention (QA, Appeals, Fraud)
 - . 17
 - Communication
 - Service delivery partners
- General Services
- Accounting Management

Partnership Development

- Community Education and Partnership Outreach
- Community Needs Assessment
- Community-based Services Strategic Planning
 - Resource Identification and Development
- Partnership Agreements and Maintenance
- Leveraging Resources and Grant funding

Consumer Services

- Assessment (Includes an Outreach component)
- Consumer Services Coordination Team Response
 - Supportive
 - Protective
 - Financial

4.1.3. CHARACTERISTICS OF THE MODEL

Values represent the priorities and driving forces behind an organization's goods and services. The BPR Team recognized that there are strong cultural values throughout the State and local human services delivery system in the As Is business model. They also recognized that the processes in place today often prevent individuals and individual organizations from consistently demonstrating adherence to their values. Therefore, the following value statements were developed as a cornerstone...to express how VSSS will behave internally and externally in the To Be business model.

- Trust and a spirit of cooperation throughout VSSS
 - Willingness at all levels to bend over backwards to get the job done without walls or barriers
 - Demonstration that the VSSS can respond to changes in a coordinated manner without adding complexity and cost
 - Localities participate in a statewide effort to re-focus from stovepipe operations to collaborative services
- Dedication to operational efficiency
 - Responsive, timely
 - Efficient and effective use of technology
 - Skilled at business and analytical methods
 - Work is performed only once
- Responsible spending and investment





- Efficiency in cost and operation
- Committed, professional, and satisfied workforce
 - Continuous education and development to achieve a world-class organization
 - An environment that motivates, supports, and rewards innovation and achievement
- A culture of flexibility when trends or changes occur, the structure of the enterprise can accommodate the changes without reactivity
- Skill at marketing VSSS services to the public at large through a variety of media
 - Publish VSSS performance
 - Build constituency
 - Enhance community-based relationships
 - Assure transparency of information between VSSS and the General Assembly.
- Continuous focus on consumer-centric business objectives information is requested only one time
- Uniform service delivery and uniform range of services across the state similar look and feel in customer service across the State, including the support functions that support or review the customer service function.
- Open accessibility no wrong door; the same level of service is provided anywhere in the system
- A solid belief system underpinning community partnerships that VSSS is not always the provider of choice
- Seamless activities among service providers is provided without active participation by the consumer to satisfy internal needs
- Unified enterprise working toward common goals and speaking with one voice
- There is excellent external and internal communication
- There is transparency between providers and the consumer.

4.2. CONCEPTS CARRIED THROUGHOUT THE TO BE BUSINESS MODEL

The BPR Team focused on *simplifying the customer service model* by removing artificial programmatic and bureaucratic barriers. There are several key concepts that permeate the To Be business Model at all levels of the State and local enterprise. These represent a dramatic shift in thinking about VSSS's governance obligations:

- A single, integrated and unified policy manual
- Skilled root cause analysis, cost benefit analysis and strong business case analysis
 to support decision-making about products and services, business practices and
 supporting technology
- A multi-disciplinary/inter-disciplinary business model at all levels of the organization to reduce or eliminate duplication and redundancy...with a commitment to prevent complexity from slipping back in to the business environment through on-going reiteration of a culture of simplicity
- Maintenance of an operational model based on up to date integrated policy, practice, systems & data, supported by the ability to test and prove the desired outcome before implementation





- Establishment of operational and performance standards for individuals, localities and the State
- On-going measurement of performance and outcomes at all levels of the enterprise
- Use of benchmarks to evaluate performance and continuously set new targets
- A single point of data gathering mechanism to support community-based services to the Consumer
- Consumer self-service, self-assessment and self-direction
- Consumer choice in contact modes
- Focus on and commitment to an appropriate use of technology tools (including, development of a State/local paper and procedure non-proliferation agreement)

4.2.1. BUSINESS MANAGEMENT METHODOLOGIES

Business management methodologies defined by the BPR Team employ 21st Century business approaches that make sense in the human services environment, and are a significant departure from the As Is business model. The methodologies support a consolidated vision for operations and performance.

- Establishes a consolidated operations management model to replace programmatic stovepipes
- There is an expectation of free flow of readily available cost, performance, financial and statistical information throughout the "supply chain," including at the line level
- Implementation of policy, systems, procedure and operational methods are subject to on-going modeling, testing and evaluation to assure that outcomes and results are as intended to mitigate risk and rework
- There is routine evaluation of suppliers, costs & performance
- Chartered workgroups with predefined work products, timelines and due dates replace the on-going "committee" concept
- Professional and skilled project management is assigned for each and every work product – policy, procedure, systems, audit, etc.
- Utilizes strong multi-disciplinary/inter-disciplinary skills/teams at all levels of the organization, including:
 - Consumer Services
 - Partnership Development
 - Operations Management
 - Strategic Planning and Management
- Responsibility/authority is delegated to the level at which the work is assigned
- Record-keeping and documentation at all levels and in all disciplines is electronic

4.2.2. TODAY'S SUPPORT FUNCTIONS ARE FACETS OF THE OPERATIONS MANAGEMENT MODEL

The To Be business model is highly dependent upon an operations and information environment that matches the BPR business objectives. The "operations" concept integrates key State and/or local analysts and managers into inter-disciplinary teams to continuously model, test and evaluate business methods, products and services, policy and systems, and proactively anticipate change. Policy development occurs within this integrated framework and is responsible for maintaining integrated policy and practicum that supports the consumer services model.





The stovepipe support and compliance functions, that currently stand alone, are also integrated into this model. Human Resources and Staff Growth and Development are charged with dynamically meeting the expectations of an organization that requires highly skilled employees with certifiable competencies that fit the To Be business model. The business modeling laboratory is a critical tool in assuring that staff can see value in assuming required new work behaviors.

Compliance functions (quality assurance, fraud, appeals) are designated to proactively support the Error Prevention sub-activity to supply integrated and meaningful data for the business modeling laboratory and for the Strategic Planning and Management core function. Information technology and communications each play key roles in assuring that the information systems and information communication modalities support the free-flow of readily available information for meeting the organization's mission and expected performance requirements. Information about the performance of community-based partners is an important ingredient in modeling and testing operational modalities.

Also within the operations management framework are General Services to assure that the non-system tools needed to support the expected levels of performance are readily available at an affordable cost. Statewide financial management is a key element in assuring operational transparency, through ready availability of cost, performance, financial, and statistical information to the individual level.

4.2.3. CUSTOMER SERVICE METHODOLOGIES

Customer service methodologies in the To Be Business Model deviate significantly from the As Is. It is no longer assumed that "clients" will meet with VSSS on VSSS's terms, meaning "at the office, at a time convenient for the office and for staff." Instead, it is assumed that the "consumers" of VSSS goods and services should be able to exercise choice and participate in educated decision-making. Several key concepts help define, at a high-level, the BPR Team's approach to customer service. The consumer will receive a higher level of quality service through the following:

- Many modes of access & contact
- Multi-media communication
- Information collected through VSSS and/or business partners only one time
- Household based assessment and planning
- Community-based response to needs right services at the right time
- A pool of consumer service-related information that can be shared between service providers as permitted by the consumer and as allowed by law
- Other community-based partners can initiate VSSS services
- EBT and EFT will be the standard for all cash payments consumers & providers

4.2.4. MOBILITY AND DYNAMICS ARE KEY

The To Be business model assumes that staff and the consumer services core function are mobile and independent of bricks and mortar. Teams to serve consumers and teams to test and evaluate policy, systems, procedure, and operations methodologies are predetermined by need not programmatic affiliation or job assignment. It is expected that teams are





dynamically co-located. This may mean that service delivery staff may provide services in a consumer's home, a mobile office detailed into a community, a community-based partner's office, a housing development, or other. The To Be business model assumes that new skills, competencies, education, staff growth and development and performance standards will be required for all VSSS staff. It is also assumed that the required technology support appropriate to the performance and outcomes expected will be provided. Staff growth and development are an expectation. Business methodologies will be continuously updated to meet changing conditions.

4.3. VSSS BPR IS VALIDATED BY STATE INITIATIVE

The work of the BPR Team is validated by the work of the Council on Virginia's Future. Readers are directed to the Council's web site for a complete review of their reports and work products to date. http://www.future.virginia.gov/InterimReport1-12-05.PDF.

Page 9 of the Council's January 12, 2005 Interim Report graphically portrays the following:

Now – How – Wow!

- A Strategic Direction
- An Emphasis on the Future as Well as the Present
- Clear Performance Goals
- Focused and Inspired Staff Members Mobilized to Achieve Performance Goals
- On-going Performance Measurement and Analysis
- Achievement of Ever-Improving Results
- Recognition of Achievements; Rewards for Success
- Communication of Performance Plans and Results Transparency for Citizens

A Holistic, Continuously Improving System for Performance Leadership





4.4. HIGH-LEVEL COMPARISON OF THE AS IS AND TO BE MODELS

4.4.1. CONSUMER SERVICES

4.4.1.1. Consumer Services As Is

- Reception
- Screening
- Hot Line
- Abuse Complaint Calls
- Benefits Intake
- Services Intake
- · Protective Services
- Benefits Case Management
- Social Services Case Management
- CSA FAPT
- Outreach

4.4.1.2. Consumer Services To Be

- A Tool to Collect Information 1x
- Universal Data Gathering
- Shared with Business Partners
- Multi-Disciplinary Assessment
- Universal Financial and Services Plan for a Household
- Consumer Self-Service
- Linked to External Providers
- Multi-Disciplinary Teams, Dynamically Assigned
- · Pool of Skilled Staff
- Universal Calendaring
- Workload Assignments

4.4.2. PARTNERSHIP DEVELOPMENT

4.4.2.1. Partnership Development As Is

- Individual relationships
- Funding streams
- Traditional delivery
- Traditional locations
- Informal Arrangements
- Uncertain Outcomes





4.4.2.2. Partnership Development To Be

- Shared Resources
- Shared Information
- Shared Facilities
- Non-traditional Service Delivery Locations
- Multi-Disciplinary Teams
- Higher Levels of Grant Funding
- · Collective of Services
- Focus on Value

4.4.3. OPERATIONS MANAGEMENT

4.4.3.1. Operations Management As Is

- Functional Stovepipes
- Programmatic Stovepipes
- Multiple Policy Manuals
- Policy and Systems Unaligned
- Reactive Management
- Job Specs Out of Date
- Skills Limit Capability
- Lacks Information Sharing
- Lacks Performance Standards
- Input is passive
- Individual Fiscal Systems Don't Talk with State System
- Audit-ability is limited

4.4.3.2. Operations Management To Be

- Functional and Policy Integration
- Multi-Disciplinary Teams
- Single Policy Manual
- Policy and Systems are Unified
- Business Modeling Laboratory
- Benchmarking and Best Practice
- Competency-Based Jobs
- Skilled Analysis
- Certification & Accreditation Criteria
- Participatory Input
- Information Rich
- Statewide Financial Management





4.4.4. STRATEGIC PLANNING AND MANAGEMENT

4.4.4.1. Strategic Planning and Management As Is

- State and Local Stovepipe Functional and Programmatic Administration
- Focused on the Budget Cycle
- Responsive to Political Agendas
- Strained Inter-governmental Relationships
- Stovepipe Implementations
- Information Sharing is Limited
- Budget Planning on Past Experience and Political Winds
- · Communication and Effectiveness is Challenged

4.4.4.2. Strategic Planning and Management To Be

- Inter-related and Integrated State and Local Leadership
- Focused on the Long Term
- Focused on What's Best for Virginia
- · Commitment to Relationship Building
- Tactical Planning and Prioritization Based on Analysis
- Real-time Controls and Feedback
- Budget Planning Based on Performance Outcomes
- Transparency
- Confidence in Stewardship

4.5. MILESTONES AND CHECKPOINTS

On June 23, 2005, the BPR Team presented the High-Level To Be Business Model to the BPR Project Steering Committee. This checkpoint is a routine milestone in a BPR project facilitated by First Data Government Solutions. The purpose is to allow the steering entity an opportunity to redirect the BPR Team, should it be perceived that they've embarked down an incorrect or unsupportable reengineering path. This is a necessary step, before the more detailed redesign work begins. The Steering Committee members recognized the enormity of the BPR proposals, but were not deterred from their original guidance statements and business objectives.

The Steering Committee identified that the BPR recommendations reach beyond the VSSS Goal Three Committee's charge and proposed that the entire Strategic Planning Steering Committee be included in reviewing the To Be business approach. The To Be Business Model is proposed for review by the BPR Steering Committee, the VSSS Strategic Planning Steering Committee, and the Virginia League of Social Services Executives on August 15, 2005.

4.6. REDESIGNING THE PROCESS

Several organizational deficiencies were identified before the actual redesign effort. The Team recognized that organizational and operational stovepipes within VSSS had created a





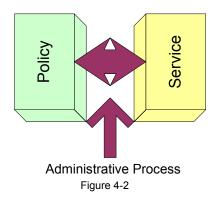
web of complexity around business functions, processes, and procedures. In addition, duplication and redundancy contributed further to the complexity. These conditions are costly to VSSS in terms of hidden costs. By approaching business from a new perspective, the Team was able to divorce itself from traditional thinking. The following picture illustrates the level of gap between the current model and the Team's ideal for a new business model.

ADMINISTRATIVE PROCESSES CREATE BARRIERS TO EFFECTIVE DELIVERY OF SERVICE



Figure 4-1

The work to develop the new business model began during the discovery activities involved in defining the "As Is" model, performing the critical requirements analysis, and conducting a best practices review. When the Team was asked to begin sharing its vision of the new model, there was an immediate synchronization of thoughts. The discussion began to draw a picture of a better way to deliver service—to provide an unexpected level of service—to the public that VSSS serves. It is a portrait that strives to facilitate optimum business practices. The following illustrates the Team's vision for the future.



4.6.1. DESIGN ALTERNATIVES

There were several options for reengineering VSSS. One option might have focused exclusively on acquisition of new systems. The Team recognized that to limit the scope of the project to just the scope of the PPEA project was to miss many opportunities to improve business processes that are not directly related to technology.





A second alternative was to leave the boundaries between State and local operations totally intact. While the reengineering alternative chosen respects the individual roles of the State to carry out supervision responsibilities and the localities' responsibility to directly administer delivery of services, it makes the best use of both.

A third alternative was to streamline and standardize the day-to-day activities of the State and local employees. Because the State and localities have jointly sponsored this reengineering effort, the Team concluded that to stop at reengineering narrowly was to stop short of the Steering Committee's business objectives.

Therefore, the BPR Team took a holistic approach to redesign, continually looking for ways to build relationships, to apply the intellectual power of teams, to shorten communication links, and to improve the overall quality of services to consumers while reducing redundant and inefficient practices that frustrate and thwart good staff. The To Be business model represents a common sense way for VSSS to operate.

The Team was of one mind in determining how best to continue providing critical services and concurrently work more efficiently to make additional resources available for those areas needing more resources. The Team was committed to creating a new model that would promote VSSS as an organization known for its stewardship of its charter, its finances and its human resources.





5. Redesigned Core Functions & Activities

The BPR Team envisioned the reengineered business model as a single business process, focused on a single mission. They identified four highly integrated Core Functions in the new business model.

In contrast with the current business model, which is represented by anywhere from 4 to 14 core functions within each of 20+ programmatic stovepipes, three stovepipe administrative support functions and twelve program support stovepipes or processes, across which it is difficult, if not impossible, to communicate (vision, direction, priorities, and other), each core function represents groups of individually redesigned business activities, supported by steps and tasks that are inextricably linked.

The following graphic depicts the High-Level To Be Business Model as a series of concentric circles showing the inter-relationship and flow of information between core functions. The graphic depicts the consumer in control of their interaction with VSSS:



HIGH-LEVEL BUSINESS MODEL

Figure 5-1

On the following pages, the important components of each Core Function are discussed. The organization of this section provides an overview of each core function in Sub-section 5.1 by topical component, rather than business activity. Sub-sections 5.2 through 5.5 provide more detailed information for each business activity within a core function.





An ongoing theme for this model is the need for continual collaboration and communication among the members of VSSS. The boundaries between Core Functions and the business activities must be permeable.

5.1. To BE CORE FUNCTIONS

The BPR Team focused above all on the quality of services to consumers. It is in this spirit that the To Be Business Model deliverable discusses the redesign in what appears to be reverse order. It is the BPR Team's belief that this reengineering effort must be top down in order to ensure that the quality of services to consumers is assured for the long-term. Roles and responsibilities have been re-drawn for managing at all levels at this point of entry into the 21st Century.

5.1.1. STRATEGIC PLANNING AND MANAGEMENT

The Strategic Planning and Management Core Function replaces what is viewed in the As Is business model as the Executive Level within State and local VSSS offices.

5.1.1.1. Leadership and Long-Term Outcomes

Strategic Planning and Management is focused beyond the day to day business activities to long-term outcomes in the five year to longer horizon. This leadership role continually evaluates the mission of the enterprise, establishes the long-term vision, develops business objectives for successively higher levels of organizational performance and quality, and builds government to government relationships that elicit support for the organization's mission.

5.1.1.2. Forecasting for Future Performance

A key responsibility for this leadership role is forecasting and proactively establishing the framework for the organization to respond to changes as they occur. With support from VSSS systems, the leadership is responsible for forecasting change in any and all of the following:

- Federal Regulation
- Legislative Intent
- Societal and Economic Factors
- Community Expectations
- Technological Advancements
- Organizational Needs

It is the leadership's responsibility to continuously reassess business objectives in light of forecasted changes, and to freely communicate the business case for organizational realignment as the forecasted need for change occurs.

5.1.1.3. Directing Change

The leadership is responsible for sponsoring the activities required over time to meet VSSS business objectives. A system of performance management provides the information required to assess progress against business objectives. Implementation of change is





directed on the basis of the long-term vision, business objectives, bona fide action plans, targeted outcomes, and enterprise-wide performance requirements.

Chartered Steering Committees will charter project managers and workgroups to model, test and implement change.

5.1.1.4. Budgeting for Results

The VSSS leadership role is responsible for budget planning and management that aligns budgets with expectations for performance to assure that VSSS can demonstrate the efficacy of its products and services.

There are incentives at both the State and local level to save budgeted dollars through a high level of performance. There is a mechanism for returning cost savings to local entities and State operations to enhance financial, protective and supportive services for consumers.

Value for dollars expended is a keystone of the new VSSS enterprise. Administrative policy requires that on an annual basis during budget planning for the next budget cycle, a conscious decision must be reached that VSSS receives the highest quality service for the price paid for all goods and services procured, and all goods and services produced within all core functions and business activities, including IT operations. Policy requires a true representative study or routine reporting of the enterprise-wide costs within VSSS for support and services, including IT, which must include VITA, State VDSS IT, and Local IT shops.

5.1.1.5. Evaluating Enterprise-wide Performance

Efficacy is demonstrated through controls and feedback loops throughout the enterprise. On-going monitoring and review assures the continuous review of control and feedback mechanisms to maintain their integrity. Assignment for monitoring and review is delegated to every individual employee in the statewide enterprise. Individuals and individual entities have transparent availability of VSSS information to benchmark performance and cost of doing business.

5.1.1.5.1. Performance Management

Management information (reporting) tools will be readily accessible to supply information to individuals, supervisors, units, programs, directors, localities, and state supervision, as well as provider partners, for performance management and budget planning. Performance management information will be modeled and tested in the business modeling laboratory to determine bottlenecks and best practices alike. Refer to Appendix E for detail on the Performance Management component.

5.1.2. OPERATIONS MANAGEMENT

5.1.2.1. Operations Management Model

Program management at the State and local levels is replaced with an operations management model dependent upon respect, collaboration, strong inter-disciplinary skills and free flow of information up and down the "supply chain." Policy, procedure and systems





are fully tested and proven prior to implementation in order to prevent rework and to provide the mechanism for training prior to implementation. The basic business philosophy of Operations Management is contained in the following two paragraphs.

In the To Be business model, there is a consolidated vision for current and future operations and performance that is a guide for change. The vision will be communicated across all functions and localities. The Operations Management Core Function assumes that consolidation and integration of functions/programs and policy will result in more timely operations and services through a modeling and testing approach that pre-proves expected outcomes.

In general, in the To Be business model, a business case for functional enhancement that can support a higher level of customer service and performance will be assigned a higher priority than new policy implementation unless it is required by law. Cost-benefit analysis will be used to determine the cost and the value of any proposed change. The business case will identify whether a higher value (return on investment) will be generated by enhancing organization performance or if higher value will result through improvements in community well being by releasing new policy. It is the business case for either that ultimately determines the higher order of priority. The To Be business model assumes that statewide results-based budgeting will eliminate competition for or re-direction of dollars that is inherent in today's As Is business model without a business case justification.

5.1.2.2. Integrated and Simplified Policy

Operations Management presumes establishment of a single integrated policy manual that eliminates programmatic stovepipes, and supports all 20 programs, three administrative support functions, and twelve programmatic support activities in topical rule-based format. Consolidated State policy must be brief and simple and conform as closely to federal regulation as possible. Screening, evaluation, intake, hot lines, and initial and family needs assessments are replaced by a two-stage universal financial and services assessment and plan.

Stage one is a complete initial assessment for a household (of one or more individuals, irrespective of bloodline relationship) and delivery of initial services that will stabilize the household and/or meet emergency needs. Stage two is referral to a Consumer Services Coordination Team with an assigned case manager (the CSCT may be one or more employees working as a team with the consumer and may include community partners) where the universal financial and services needs assessment and plan will be completed. There are statewide standards for case record reviews and re-assessment. Policy is in place that establishes standards for IT systems triggering case actions by case managers.

Policy establishes a requirement for electronic record keeping & shared electronic records across VSSS employees and provider partners, including, at a minimum:

- Universal financial and services assessment and plan
- Verifications
- Documentation or case notes
- Case records
- Case actions and histories





- Compliance findings
- Evidence & Photographs
- Court reports
- Court orders
- Service plans
- Safety plan

Policy reiterates that there is no duplication of information collection or redundant work activity across job functions. Information access policies are established to share information freely based on field level security to VSSS employees that require it to perform their job function.

In the To Be business model, policy is aligned between VSSS and its policy partners to simplify and reduce complexity, labor and cost. Policy development by VSSS or its partners will require inter-disciplinary and multi-lateral participation, including State and local participation, in development of language and assessment and mitigation of impacts. Policy impacts will be modeled in the VSSS business modeling laboratory

The To Be model assumes that functional business analyst skill sets are required. Existing systems will be evaluated for capability to support non-automated programs based on like functional requirements before new standalone systems are procured or developed. Functional business analysts are responsible for translating the needs of policy for a specific level of performance in business functions to functional requirements for information systems. Functional business analysts are responsible for assuring information systems are properly aligned with policy, and that performance meets the requirements in a modeling and testing environment prior to implementation. System enhancements are based on the business case for improved performance within VSSS or its partner agencies.

See Appendix E for additional detail on Policy Development in the To Be business model.

5.1.2.3. Modeling and Testing Policy, Systems and Procedures

The concept of business modeling is over thirty years old, emerging in the academic world as a "management flight simulator." This concept worked very well in a situation in which a single individual needed training in responding effectively to specific business stimuli.

Over the decades as use of technology has attempted to expand to support user-based needs across multiple business functions, users have experienced significant frustration. Many BPR initiatives likewise have produced a lack of success in a majority of situations, as traditional approaches to technology to support the reengineered processes have failed to yield expected results.

"In the 90's the disruptive efforts of information technology have become all too visible. Empirical studies on the impact of systems based on technology-centered approaches on practitioner cognition and performance has ranged from bewilderment to loss of human lives (Perrow 1984; Norman 1988; Norman 1993; Sarter, Woods et al. 1997). " Rajiv Khosla, Somkiat Kitjongthawonkul, LaTrobe University, Victoria, Australia.





Expectations for higher levels of functional interaction and integration which can not be satisfied by a traditional approach to requirements definition and system development has led to new applications of business modeling. To cite InJun Choi, a former researcher at the University of Texas in Austin, "a new paradigm that encompasses process design/redesign and integration, process validation and optimization, process automation and control, process data exchange among organizations, and management of business process knowledge is required to meet today's expectations for human performance."

In 1993, three years into implementation of one human services system, the experiences cited by Professors Khosla and Kitjongthawonkul beset end-users of a technology solution that supported a completely reengineered business environment for hundreds of users. The discovery was that the reengineered business processes were not in place...in spite of traditional system training approaches, individuals were still trying to marry the paper-based world with the world of technology. They were performing work twice, once in the system and once on paper required by supervisors, quality control, fraud investigation, fair hearings, fiscal functions and individual habit. By using an extremely low-tech business modeling environment to re-tool users, to correct deficiencies in integration with other business functions and to correct system functionality problems, productivity rose just short of 200% in eight months, as did satisfaction of end-users. Within less than two years this organization was essentially paperless.

By 1997, Peter Floss, Cambridge, MA, stated, "The tight integration of business process modeling and simulation tools with real-time deployment environments offers the potential for significant additional value to the end user organization. Models that were previously used for the design and analysis of business processes can now also actively participate in the operation of the business. This allows for better management decision making and improved processes based upon more timely information about the performance of the business. An important aspect of these systems is the tight integration between the modeling tool and the operational environment."

In 2005, the BPR investigation of the VSSS statewide As Is business environment discovered the same phenomenon of marrying old business methods with technology. Irrespective of one's perception of the systems deployed, use of systems has not been optimized across both State and local functions. There is an extremely high level of dependence on paper processing, confounded by lack of shared information and lack of management information along with distrust of widely disseminated technology. Despite technology investments in the hundreds of millions of dollars over the past ten years, the results have been far less than optimal.

This finding comes at a time when VSSS end-users, both management and line level, have defined during BPR a need to be a real-time enterprise. A "real time enterprise" is defined by Khosla:

"Real Time Enterprises are organizations that enable automation of processes spanning different systems, media, and enterprise boundaries. Real Time Enterprises provide real-time information to employees, customers, suppliers, and partners and implement processes to ensure that all information is current and consistent across all systems, minimizing batch and manual processes related to





information. To achieve this, systems for a Real Time Enterprise must be "adaptable" to change and accept "change as the process."

But, the level of change required for VSSS to migrate from the As Is to a real time enterprise must be managed in a low-risk environment. The To Be business model introduces a critical component into the VSSS world, a business modeling laboratory to support VSSS in ending the cycle of dependence upon a thirty year old business model and dissatisfaction with technology and technology implementations as identified in the As Is investigation.

The business modeling laboratory will help transition VSSS to a more balanced environment in which human performance and interactivity to produce goods and services will be supported by properly defined tools. The business modeling laboratory does not seek to replace people with computers; rather it seeks ways to deploy computers and technology in ways that support personal and organizational performance goals across the enterprise.

In a business modeling laboratory, people work in inter-disciplinary teams to collaboratively drive organizational performance and technology development.

The business modeling laboratory as perceived for VSSS is a meld of:

- Facility, in which diverse functions and relationships are co-located, sometimes
 permanently, sometimes dynamically, depending upon strategic and tactical
 priorities and in response to operational business objectives.
- Highly skilled business and policy analysts with broad knowledge across VSSS disciplines, including State and local personnel.
- Practical application of business methods and tools.
- Staff growth and development personnel to mirror skill building capabilities.
- Human resources personnel to document the competencies needed to produce expected outcomes.
- Error prevention knowledge and information
- Technology, including modeling and testing capability supported by a wide array of cost, performance, financial and statistical information.

How this business modeling laboratory is implemented is important to the success of VSSS reengineering, if it truly wishes to become a real time enterprise. Khosla continues on to warn us, that although the benefits of technology in business modeling can, by no means, be underestimated, technology's principles of rationality and objectivity are not adequate tools for dealing with the social and organizational realities of the business.

The To Be business model assumes, then, that this is a policy and practice research and development environment, a business modeling laboratory infrastructure to support an effort in which people work collaboratively to "prove" an approach, with a goal toward continuous improvement of:

- Service delivery practices
- Program and services outcomes
- Operational management
- Staff skills and abilities
- Cost and performance





Accountability

Armed with this premise, the Business Modeling Lab will provide a means to effectively apply technology such that the demands of the reengineered business process, real-world consumer needs, and an ever-changing business environment will be met, and will continue to be met as the activity evolves.

Refer to Appendix E for a review of the detailed expectations for the Business Modeling Laboratory.

5.1.2.3.1. Benchmarking

VSSS policy requires a routine evaluation (annual) or benchmark of private sector services across the spectrum of VSSS functions and activities to compare costs and performance. (Refer to Sub-Section 5.6 for a discussion of functions and activities determined by the BPR Team to be non-core.)

This routine benchmarking evaluation includes a quality assurance element, for evaluation of adherence to the VSSS Service Level Agreement, responsiveness to need for change, cooperation in improving VSSS technical and service delivery infrastructure, and overall cost of operation.

5.1.2.3.2. Successful Implementations

The Business Modeling Laboratory is responsible for assuring that when new policy is to be implemented, system changes are made and releases of policy, system and practice occur at the same time. A business project manager will be responsible for the coordination and implementation based on the timeline established in the business case. Policy, system and practice are user tested in a real-world business modeling environment and that performance meets the business objectives of the action plan's designated change target prior to release.

Competent and certified project managers will be responsible for all changes irrespective of discipline, from initiation to post-implementation evaluation. Business-based project managers are independent of both policy and IT, and are responsible for managing efforts to completion according to the expectations of the business case, including timelines, due dates, resource requirements, budgets, performance, outcomes and documenting lessons learned.

Operations Management multi-disciplinary teams share in accountability for the outcomes of the designated change target.

5.1.2.4. People and Competencies

In the To Be business model, job roles based on assignment and the expected level of performance are more critical than hierarchically established job classes for program responsibilities.

Competencies are specified based on the competent staffing needs of the To Be business model. Standards of performance are set for localities and State functions across all core functions and business activities. Competencies based on certification criteria must be set





for new hires. Existing staff must, in turn, also be certified as having the competencies, certifications and skill sets required to achieve established performance levels for job assignments.

Certification criteria are set on the basis of required performance standards and business outcome philosophies. Accreditation reviews are required on a periodic basis, including the level of professional and skill development of staff at all levels within a locality or at the State office.

There is a strong focus on staff growth, development of competency levels and skills in analysis, judgment and decision-making. See Appendix E for additional detail on Human Resources and Staff Growth and Development sub-activities.

5.1.2.5. Process and Procedure for Performance

Process and procedure for a job assignment is developed within the business modeling laboratory for all job functions, thereby establishing benchmarks and best practices for casework methods, for policy analysis, for project management, for error prevention, for IT, for human resources, etc. The process and procedure for a job assignment includes performance standards, documentation requirements, and competencies for new employees and on-going employees. Staff development must be provided for supervisors and managers in changing business practice, including casework methods, managing personnel, analyzing performance data, etc.

Statewide staff development at all levels is integrated into the business modeling laboratory, using a variety of media for self-service, self-certification, tracking and supervisory reporting of self-served growth and development.

There is a requirement for information technology skill certification and re-certification for all staff. There is a requirement in policy for all staff to be skilled to a minimum standard of proficiency in VSSS systems. There is an expectation of self-directed enhanced learning in technology and VSSS systems. Periodic testing of proficiency is required in business methods and use of tools/applications in the work environment.

Competency-building specific to supervisory roles in managing people to perform at the highest level in the new business model will be supported, using work behavior modeling via media housed in the business modeling laboratory.

5.1.2.6. Equipment and Services Procurement

The perceived additional cost of goods and services to support the To Be business model has potential to deter enterprise-wide progress toward meeting the business objectives if localities must be responsible for individually negotiating purchases. There are cost savings through economies of scale that can be achieved through innovative centralized procurement with local agency participation in establishing standards. The BPR Team strongly recommends the inclusion of this component of the model.

While the State has no role in determining how localities' money is spent on equipment or services, it is assumed that the State does have the responsibility to assist localities in completing the business case analysis they need based on affordability and performance





outcomes to support procurement and procured at a reasonable price. This may be done through means such as quantity purchase agreements (QPA) that allow localities equal access to goods and services at a much-reduced cost. Further, it is assumed that with input from localities, the State will take the lead in assuring that equipment such as wireless services, cell phones, notebooks, handhelds, laptops, and/or other critical devices, meets established performance criteria. In all cases, equipment must have been fully tested for efficacy within the business modeling laboratory.

5.1.2.6.1. Information Management

Information technology, information systems, and information resources that perform at optimum levels will be enablers of the changed performance capability of the To Be business model.

It is possible that VSSS's current information systems have a capacity for supporting enterprise-wide performance that has not been leveraged in the As Is business environment. These potential capabilities are critical to the To Be business model. During the next phase of the BPR project, these capabilities will be fully explored and steps will be taken to plan for interim changes that will enhance their use and performance results.

Several initiating and on-going analyses are recommended relative to information management. For instance, hidden costs associated with paper-based and manual information flow between functions should be documented and a cost assigned to each piece of paper in the current environment to better project the enterprise-wide value of technology support.

There must be an analysis to identify what information is currently collected, stored and can be generated without additional systems development. Paper-based forms use must be evaluated against system capabilities to identify immediate relief from labor-intensive work activities. Only then should requirements be established for enhancing system capability to generate absent information management capability

System functionality that can be audited to determine the level of enterprise-wide use should be evaluated for efficacy, user friendliness, bugs and cost of non-use. Root cause analysis must be applied prior to defining functional requirements for enhancing system and organizational performance.

There is a new requirement in the To Be business model for creation of a universal information gathering tool to support consumer services and feed existing systems the information needed to support back end processing. This may be an existing information system capability. Only by modeling and testing the desired inputs, outputs and outcomes will VSSS be able to identify whether existing systems meet the performance criteria or whether new systems are required. An expanded discussion of this requirement is contained in Sub-section 5.1.4.2.

There is also, in the To Be business model, a requirement for a single statewide financial management system that can provide transparent, auditable information on cost, performance, finances and statistics. This is a critical component of the BPR recommendations. Transparency of cost, performance, financial, and statistical information





is the basis for strategic planning, outcome-based budgeting, activity-based costing, performance management, benchmarking, and for modeling and measuring change. An extended discussion of this issue is contained in Sub-Section 5.1.2.9.

In the To Be business model, information management tools and information systems resources are integral to supporting the business modeling laboratory in identifying and correcting consumer service, service planning, inter-disciplinary team participation, collaboration with external service delivery partners, and outreach as a component of the service delivery responsibilities. Refer to Appendix E for more detail on Information Technology in the To Be business model.

5.1.2.6.2. Error Prevention

Compliance sub-activities, quality assurance, fraud and appeals, are unified toward a responsibility for Error Prevention, with integration of findings information that has greater value in the whole, than in its parts. Compliance reviews are governed by operations management, and are aligned with the intent of federal law. Fraud, appeals, and quality assurance follow federal law and consolidated VSSS policy with minimum deviation and without creation of additional policy or procedure.

Root cause analysis of electronic data from Error Prevention (fraud, appeals, QC) will be performed in order to supply a new level of information for pro-active management of changes in customer services, case management practice, organizational structure, job classes and job specifications.

Compliance functions are an integrated component of case management as well as business modeling laboratory program evaluation methodologies. Compliance findings are included in the electronic case record. Root cause analysis of electronic data from Performance Management reporting and Error Prevention [fraud, appeals, QA] will be available to pro-actively model, test, and manage implementation of changes in policy, consumer services, case management practice, organizational structure, job classes and/or job specifications.

End users will be able to construct management information formats across multiple types of information provided through Error Prevention. Individual user sites or groups will have flexibility to have information in a different form than another site or locality

5.1.2.6.3. Information Technology

IT analysts and management must be members of the business modeling laboratory. Technology support is provided through participation within inter-disciplinary teams. When technology changes are to be implemented, updates are coordinated across all appropriate technology suppliers in order to coordinate levels of functionality. It is assumed in the To Be business model that existing systems will be evaluated for capability to support non-automated programs based on like functional requirements before new stand-alone systems are procured or developed by VSSS. Refer to Appendix E for additional detail on I.T. in the To Be business model.

5.1.2.6.4. Communication





In the To Be business environment, the communications capability of VSSS has several strategic roles and responsibilities for maintaining the up-to-date, modern, flexible and responsive infrastructure required to support excellent internal and external discourse and learning. Communication modes will be used that have the capability to efficiently deliver current information as it is generated - positive or not. Continuous information flow is required in the To Be business to grow a lasting, trusting relationship between governance entities. For example, Web-based communication media can be used for reinforcing the commitment to holistic service philosophy to the community, to service delivery partners, and between State and local entities.

In the To Be business model, there is free and open communication across the enterprise about the business case for improving VSSS operations, and the outcome expected for vastly improved services, jobs, and results. Excellent communications is the responsibility of every staff member within VSSS. The communication capability directly and critically supports all of the following in the To Be business model:

- Consumer access to services
- Consumer education
- Mobile service delivery
- On-going staff development and growth
- Attracting and recruiting highly competent staff
- Community-based services delivery
- Business modeling laboratory collaboration efforts
- Workgroup collaboration
- Partnership collaboration
- Community outreach and education
- VSSS government to government relationship building

Communication mechanisms are put into place that advertise the vision for the future of VSSS, BPR recommendations, Interim changes planned, change management planned efforts, and interim change results. VSSS's expectations for demonstrating stewardship of tax dollars while providing exemplary customer services must be widely disseminated. Communication is used to reinforce the best application of best practices. The State and local plan for meeting consumer expectations is publicly communicated. Communication is used to inform the public as to the level of commitment within VSSS for continuous improvement against statewide benchmarks in service delivery. Efficiency of procedures and better application of technology is widely communicated along with information on cost savings, customer service objectives, customer service outcomes, and quality of collaboration with external partners.

Communication utilizes the most effective medium (voice, Internet, paper) for the message. It assures that current information (minimum of quarterly, to monthly) is published, from the lowest level of detail to the most aggregate level of detail. This information is readily available to localities, the Business Modeling Laboratory, Strategic Planning and Management, governing bodies, community-based partners, and other members of the community.





The Business Modeling Laboratory uses Communication to relate consumer services information directly to consumers, including VSSS's commitment to be responsive at the first point of contact, and actions that the consumer can take prior to or at first point of contact to expedite service delivery. Communication is used to express VSSS performance standards related to service delivery, and expected time of completion from point that last information is provided by the consumer. It communicates with other non-VSSS sources for services.

As a capstone of the new business model, the Communication capability can not be hindered by any deficiency that might effectively become a gatekeeper to limited enterprise-wide performance. The communications capability must provide an open door to the highest levels of expected performance.

5.1.2.7. Statewide Financial Management

The To Be business model requires a single, auditable statewide VSSS financial system. The system will be established with line items that are common across the enterprise for all payables and receivables. It utilizes general ledger accounting practices. This assumes, for example, a significant simplification of statewide financial management, with ready availability of transparent information across the enterprise. It assumes that federal and state revenue, for example, as well as grant funds are receivables and financial services to consumers and payments to providers are payables. Workload and work activities can be tracked easily to streams of funding.

The Statewide Financial Management system will be able to communicate directly with local finance office systems and with the State's financial management system. There will be no redundant information entry between State and local operations. Financial settlements will be complete in no more than 30 days from the end of a cycle, whether monthly or annually.

The budget cycle is directly supported by the Statewide Financial Management system. Allocations and re-allocations will be fully automated. Financial decision-making can be carried out on the basis of fact. Confidence in the numbers builds and enhances trust.

Information management reporting is simplified and can be flexibly structured by the end user to meet the needs of different localities and entities. The full cost of the life cycle of a case or household can be calculated from a single source of information. See Appendix E for additional detail on the Statewide Financial Management System.

5.1.3. PARTNERSHIP DEVELOPMENT

The BPR Team recognized that a community's population should not center on VSSS as an institutional service provider of first choice. They believed strongly that VSSS should team with other community-based services to meet a broader range of needs for a consumer household by leveraging capacity and funding. The To Be business model builds this focus into the State and local day-to-day framework.

The To Be business model establishes a pervasive statewide philosophy of integrated, community-based customer services that is reinforced through communication, performance targets and monitoring, and performance measurement, staff growth and development and re-tooling of existing skills and competencies. There is a charge to communicate changed





customer service and operational philosophies to community-based service delivery partners.

The Partnership Development approach is more fully described in Sub-Section 5.4. The following, however, describes key points.

5.1.3.1. Statewide Information and Referral Network

A statewide Information and Referral Network is supported with detailed information by locality on identified potential providers, both non- and for-profit, on capacity, performance, certifications, complaints, suspensions, licensure, availability and other factors deemed of value. This is a critical information support for consumer services personnel; therefore, it must be up-to-date in real time, with real-time access across the provider partnership.

The To Be business model assumes the automated I & R process will permit open access with input capability at the local level and by providers to maintain currency, including but not limited to the following:

- Licensing
- Certifications
- Services provided
- Rates
- Results
- Ratings of quality/success
- Historical detail (length of time in business, etc., number of completed referrals, follow-up)
- Core competencies
- Staff competencies
- Complaints
- Availability

The automated I&R process will provide the ability to sort and report information by locality, by location, by type of service and competencies, and by availability.

5.1.3.2. Sharing of Information Resources

It is assumed in the new business model that services can be initiated with VSSS or with a community-based partner, whether or not there is a formal agreement in place. It is assumed that consumer information will be collected using a common data gathering mechanism, so that information only has to be collected from the consumer one time. The consumer will have choice in directing how and with whom information can be shared.

5.1.3.3. Strategic Planning for Community Well-being

VSSS localities will support locality by locality strategic planning efforts to identify targeted needs that can benefit from formalized partnership arrangements. These targeted needs are based on an analysis of indices of well-being or failure to achieve well-being within a community. Recognizing that all funding is limited, it is the objective of Partnership Development to bring resources to bear on specific issues at a given point in time that can be significantly improved or solved through a collaborative effort.





5.1.3.4. Performance Standards

Service delivery models will be designed to support services for the specific geographic area. For partnerships that are formalized, where a legal contract is not required, a service level agreement between VSSS and the community-based partner will define roles and responsibilities and expected performance levels of each partner. The service level agreement becomes a component of the partnership contract.

Routine evaluation of performance against the expected standard may result in termination of an agreement, reevaluation of the targeted need, identification of new resources, or development of capacity where none previously existed.

Community partners will share staff growth and development responsibilities with the locality via the Business Modeling Laboratory to assure that services to consumers and consumer households, including initial assessment and on-going services truly benefit from the collaborative. This will assure that both community partners and VSSS staff, alike, are knowledgeable about how to collate the providers' services into the financial and services plan and how to most efficiently refer for VSSS and/or provider services.

Consumer survey information as to consumer experience with community-based services will be analyzed and made public to workers, localities, to the partnering community (including the consumer) and to governing boards with the specific plan for improving deficiencies or acknowledging successes.

5.1.3.5. Grant Funding

Where clearly identified targeted needs exist, but the resources of VSSS, combined with the community-based partner(s), is insufficient to carry out activities to abate the need, the partnership will seek external sources of funding.

To maximize use of resources, minimize competition for resources, reduce confusion among grant fund contributors over where to invest their monies, the To Be business model assumes that grant writing be instituted for a geographic area rather than individual localities. This will enable a collective of localities to solicit new external funding streams that are focused on the demographic, economic and service delivery needs of the area. It is recommended that grant writing capacity that exists in localities are pooled to accomplish this. Where grant writing capacity does not exist in a geographic area, it is assumed that the State will provide technical support for the partnership.

5.1.3.6. For Pay Partnerships

It is assumed that there will be an electronic facility for contracting with providers. The statewide financial management system will establish an account for the provider, with a sub-account for the consumer. The system contains a mechanism for reporting services delivered against the contract (hours, etc.). An electronic facility must exist for providers to post invoices and for VSSS to receive invoices and initiate EFT payments. There is a mechanism for electronic approval of payments.





There is a performance standard for providers to post invoices timely and for VSSS to make payment timely. Failure to meet performance standards carries a disincentive, such as a percentage applied against VSSS payment or provider billings.

5.1.3.7. Centralization of Provider Negotiations

In addressing targeted needs that are statewide in nature, such as foster care and providers that have a statewide presence, the BPR Team recommends in the To Be business model that the State assume responsibility for negotiations to assure that the best value is reached in negotiations for multiple localities. The information on negotiated agreements that are statewide will be entered into the Information and Referral database by locality to preclude the need for local negotiation and duplication of effort. This mechanism will support leveraging the cost of or quality of services.

5.1.4. CONSUMER SERVICES

5.1.4.1. Modes and Hours of Access

In the To Be business model, consumers (who represent the needs of a household) may access services through any of several modes:

- Call center
- Walk-in
- Web-based
- Mobile units and teams
- Emergency response (24x7)
- In multiple languages

It is assumed in the new business model that VSSS and/or its service delivery partners will afford bricks and mortar services through extended hours to meet the broader needs of consumers:

- Second shifts
- Saturdays
- Flexible work schedules

Consumers will have self-service flexibility on a 24x7 basis. The self-service capability (whether voice or on-line) will be simple and user friendly, and provide an automatic link / feed to the resource, provider, or partner required to satisfy the consumer's need.

5.1.4.2. A Composite Tool for Information Collection

A data gathering tool will support a single point of consumer and household information collection across services and service providers. The tool will serve as an umbrella system, linking all existing VSSS systems to end users, to populate information and complete automated service delivery tasks. The data gathering tool will provide a mechanism to communicate across and between internal and external systems and populate information for the household to those systems, as well as exhibit consumer history, and receive status or tickler information from those systems. The information collection tool has an integrated universal assessment capability that populates the appropriate program applications with





collected information, obtains verifications, and stores common verifications within a single repository, without re-entry of any information in another system.

The data gathering tool will allow input of information by outreach partners and advocacy groups to initiate the assessment process. This is the equivalent of generating a referral into VSSS. This will provide a single repository of consumer information that is accessible to all users with a need to know. It is assumed that the information requirements will be researched and reconfirmed based on law. In addition to VSSS requirements, the information needs of community partners will be evaluated for the need to include unique types of information in the information collection facility. It is assumed that the information collection tool will be designed with flexibility to permit adding or removing data collection elements over time, as data needs change. Ease of maintenance of this shared tool is an objective of the To Be business model.

Consumer and household information is requested one time, shared and stored for common access. The tool supports consumer education and permits the consumer to grant or deny permission to share information, and permits the consumer to make educated decisions about levels of community-based service.

For service delivery personnel, status and consumer history information is readily available. A complete consumer history of services (contacts, outcomes, issuances, consumer actions, services), both internal and external, is documented and tracked. The data is applied and relied upon by all internal and external service providers to reduce duplication and overlap of services.

Consumer data (collection of all the information gathered from the first point of contact throughout the history of the case, as allowed by law) will be pooled for use by service providers when permission is granted by the consumer. Individuals within a household will be tracked and cross-referenced to other households and cases. This will provide a single integrated view of the household, its status with VSSS, the household's existing services, if any, and assists service delivery personnel in defining the services required.

This tool will provide a single source for updating consumer records and/or adjusting the universal financial and services plan for the household. Adding or deleting a household member, or other changes in the household circumstance, will trigger an alert to all members of the Consumer Services Coordination Team to reassess the required level of services.

Based on an analysis of cost effectiveness, the composite application may provide other common functions that are needed across all VSSS services, when such capability does not exist or is not cost effective in other existing VSSS systems. For example, it could generate consumer and provider communication, notices and referrals, and/or provide the capability for electronic case notes or documentation. It is not assumed that this tool replaces any of the "back-end" processing of any existing system.

5.1.4.3. Services in the Consumer's Language

The To Be business model assumes that consumers will receive services in their own language, as required by policy. The To Be business model assumes that new policy will be





in place that sets expectations for translation services, for language skills on staff, and for printed and system-based information. It is assumed that consumers will have all information in writing (notices, instructions, training) in their own language. Any printed and/or displayed text required for review and/or signature by the consumer will be provided in the language of the consumer. Surveys or solicitation of input will be conducted in the consumer's native language.

Inventories of spoken languages within each locality's community (general population) will be updated at least annually. The inventory of spoken languages within each agency will be used to identify if there are gaps in capability. Non-English speaking language inventories will support business requirements for development of materials and/or translator resources.

The To Be business model assumes that language skill availability will be shared between localities to maximize resources. Technology support to enable inter-agency capability is a requirement. Staff and language translation services must be certified as competent to provide language translation for all written, voice or face to face communication. Compliance functions will have the same language capabilities expectations.

It is assumed that standards will be set in policy for the percentage of caseload at which language skill recruitment is a necessity. Irrespective of on-site language skills, language support must be available at the first point of contact with no delay in service. It is assumes that technology-based language services, mobile or on-line capability, or contracts with community resources or community-based partners with language skills, will be used to supplement on-site language skilled staff.

5.1.4.4. Initial and Universal Assessment and Services Planning

The information collection tool will have a structured, rule-based assessment capability. The To Be business model assumes a statewide VSSS philosophy of "building" a full range of services that is broadly communicated between State and local, and local and community partners. It must be communicated that the business philosophy has no place for individual program applications or service sites; that it is an expectation that services are provided collaboratively and holistically. The assessment is a corner-stone of this philosophy.

The structured, rule-based Assessment capability will support Assessment staff in completing an initial assessment, evaluating and prioritizing response by emergency services, making emergency referrals, and/or delivering immediate needs services. It is assumed in the To Be business model that the initial assessment of services need will also support the calendaring of appointments and workload assignment for the Consumer Services Coordination Team that will evaluate a full range of needs and produce a universal financial and services assessment for a household. The Consumer Services Coordination Team will develop the universal services plan.

The To Be business model assumes that an existing data collection/analysis tool (i.e., SDM) that has automated capability to evaluate collected common consumer data could support the assessment and service planning activity. The To Be business model has an established procedure for assessment at the first point of contact and the appropriate mechanism for creating the assessment, collection of appropriate consumer/household information one time using the composite information collection tool, and specifying there is





no optional business method. It is expected that the procedure will detail the performance requirements for evaluating and acting on the consumer and consumer household data as it is collected, with guidelines for storage, retention and sharing of information, surveying customers for feedback on timeliness and for re-evaluation of procedures and adjustment in assessment methods as data indicates deficiencies in responsiveness.

It is assumed that the individuals performing the initial data collection and assessment for a consumer's household across all programs and services must be among VSSS most highly skilled staff. The individuals must be highly skilled in interviewing and making judgments about household relationships and circumstances and well-trained in use of the structured, rule-based assessment tool. The individual at the first point of contact must coordinate community-based services between VSSS and community-based partners, perform consumer education, make appointments, generate referrals (including for emergency response), proactively link the consumer to other services, and correctly identify the make up of a Consumer Services Coordination Team to deliver universal multi-disciplinary services.

The To Be business model assumes that the role of "assessor" is properly defined as to the skills and qualifications (competencies in assessment, consumer service and technology) required. This job requirement will benchmark against other service delivery personnel within the State. Where possible, the To Be business model assumes that there are VSSS employees that can be certified for the skills and competencies required, permitting redeployment of such staff for this job assignment. The To Be Business model assumes ongoing reinforcement of the performance standards, measurement and evaluation of individual performance, consumer outcomes, and organizational results at all levels of VSSS.

The To Be business model puts in place a Customer Service model that assesses need across all potential services. The "assessor" must be able to communicate effectively with the consumer to assure understanding the assessment methodology intends to identify any needs and services that may improve their well-being.

The To Be business model assumes that a similar capability will exist via establishment of a consumer account (statewide identity for individuals and household - integrated to case numbering requirements of OASIS/ADAPT) that permits the individual consumer to self-serve initially, with referrals into VSSS for service delivery. Consumers will be able to access their own consumer record for re-assessment, reporting changes, and/or providing new verifications. Consumer education and consumer choice and decision-making are key principles in the Assessment activity. Consumers are members of the service delivery team.

VSSS, community-based partners and the consumer will have the ability to make comparisons between the household's situation from a prior point in time as evaluations are completed of newly reported consumer circumstances.

The Assessment activity will communicate across and between internal and external systems and populate information for the household to those systems, as well as receive status or tickler information from those systems.





To the greatest extent possible, the consumer will not be required to be the primary source of verification information. In the To Be business model, policy is in place that requires establishment of electronic links to a variety of information providers (wage data, vital statistics, and data brokers) that can deliver verification information to service delivery personnel quickly, during the assessment effort, without making the consumer responsible for follow-up visits.

The Consumer Services function will have the capability to research external systems for verification and match information and populate required verification specifics.

There are performance standards in place in the To Be business model for measurement of an appropriate level of services in response to the presenting household characteristics and needs. Incentives are in place to encourage the completion of a global assessment. Stovepipe policy and structure must be removed at all levels from the State to the local level. Measurement and reward systems must focus on performance around holistic goals. This requires a shift of VSSS philosophy and culture on the importance of the household in service delivery outcomes.

5.1.4.5. Global Sign-On

In the To Be business model, a global sign-on with audit capability will be implemented. This will enable a user, with permission to specific systems, to access those systems for any role or function the individual is authorized to perform, including:

- Inquiry only
- Update (data input, delete, add)
- · Capability from read only access up to and including full system access

5.1.4.6. Electronic Case Records

Performance goals will be established in the To Be business model for transitioning to electronic case records that use system security features to protect information as required by law or by consumer choice. Policies and standards are in place, thereby eliminating the liability associated with physical records that must be stored, transported, copied, and replicated.

Electronic case record design and development follows integrated policy guidelines rather than funding streams. Documentation/verification is retained in a single, electronic source, available to all employees with an assigned "need to know." The To Be business model assumes that there will be a shared facility for electronic recording of case notes or case documentation with the ability for all employees with a need to know to view an index of documented case events, including notices, referrals, case notes, case actions, consumer actions, and due dates. Consumer responsibility to provide additional detail is recorded and detailed.

The Single integrated policy manual will define a simplified range of required verifications, defining those that are permanent (not to be collected again once on file in shared systems) from time limited verifications (such as income verifications), and the sources from which such verifications are to be collected. To the extent possible, consumers will not be responsible for providing verifications. The Business Modeling Laboratory with integrated





policy and IT will design system support to collect and store verifications one time, and to make the verifications available to those with a need to know.

Verifications and household information collected in the assessment contact are immediately available to the assigned financial services employee to permit immediate disposition of the financial portion of the case.

5.1.4.6.1. Security Management

Consumers will have a PIN or other authentication capability for access to their own VSSS records. Defined requirements will exist for any individual to have access to the information required to perform their job function.

The consolidated policy manual will provide clear definition of confidentiality and privacy with information links to the originating laws and rules for use by consumers and service delivery personnel alike to ensure uniformity of practice statewide. Performance standards will exist for proper handling of staff and consumer information with clearly stated consequences for mishandling such information. There are defined response procedures in the case of breaches of security, whether physical or electronic.

All systems that contain consumer and/or personnel information will have audit capabilities to track all information handling. Of particular importance is audit tracking of transferred information to assure such transfers are only as authorized.

Practice guidelines will be in place for procedural handling of electronic information and physical information, including protection of physical documentation from view, temporary storage in secure environments, printing, e-mailing, copying, removing from the work place, sharing with other providers, releases of information, shredding of physical documentation, etc.

5.1.4.7. Paperless Operations

The To Be business model assumes that Enterprise Change Management will communicate the operational and procedural priorities during the interim period and on-going, with the expectation that VSSS will move from paper-based, labor-intensive processes to computer-based processes based on clear business case analysis. The timeline and due dates for realizing the expected return on investment will be communicated to the individual employee level. The expected return will be quantified so that individual employees can measure their contribution toward achieving the objective. For example, one recent white paper on this subject identified that the annual cost of producing then maintaining a single sheet of paper is 22 cents.

Change Management planners, in collaboration with the Business Modeling Laboratory, will evaluate and prioritize all paper-based activities for either retirement or automation based on business case. In the short-term, systems will be evaluated for their capability to eliminate as many paper-based tasks as possible. In the long-term, systems will be modified or redesigned to eliminate paper-based tasks

Business guidelines for a higher level of computer-based operations will communicate the business case for moving from paper-based to automated work behaviors and will establish





timelines and performance standards for evaluating progress. The Change Management Plan will schedule incremental implementations of new work behaviors that will erode paper-based processing over the To Be Model's implementation timeline

5.1.4.8. Service Delivery Teams

Dynamically co-located Consumer Services Coordination Teams will be used at every level of the enterprise (local, state, local and state) to support service delivery and provide direct delivery of service. Teams, inclusive of other community-based service providers, will be formed on the basis of skill sets, knowledge, competencies, and experience. Crossorganizational skills development will prepare consumer services personnel on the most effective methods for collaborating on service delivery.

Consumer Services Coordination Team represents three services disciplines in the To Be business model:

- Financial Services
- Protective Services
- Supportive Services

The service delivery team is characterized by equality of participation on the basis of the member's unique contribution. Team structure and team responsibilities are predetermined on the basis of consumer needs. Staff and the service delivery process are mobile and independent of bricks and mortar constraints. In some situations, the team may consist of only one employee (either VSSS or community-based) and the consumer. The consumer is a member of the Consumer Services Coordination Team, with a decision-making role and authority (where provided by law) on services and expected outcomes. Services staff will jointly have access to all systems that contain consumer information, irrespective of whether the systems support financial, supportive or protective services.

VSSS team members provide swift and efficient consumer services by telecommuting, sharing space with other partners, having consolidated job functions, the ability to work from any physical service delivery site. Service delivery personnel work flexible hours and shifts. Service capability will include supporting 24x7 self-initiated services via 24x7 assessment centers, through voice or on-line (such as call centers or the Internet), or face to face with those provider partners that offer 24x7 services, such as local hospitals.

Mobility of employees is achieved through use of cell phones, laptops, notebooks, or other equipment that makes the employee more responsive to consumer requirements (court, car, consumer's home, worker's home, non-profit locations).

It is assumed that "assessors" or Consumer Services Coordination teams may serve consumers in community-based sites set up within housing development areas, senior citizen centers, community fire stations, courts buildings, social security offices, schools/recreation centers, health departments, hospitals, churches, libraries, food banks, and other county and city offices during periods when large number of people are using the offices (e.g., tax time). Employees, community-based partners and consumers will maximize use of wireless and web-based communication for both face-to-face and self-





service. Each employee is equipped with the ability to record electronic signatures replacing the need for original signatures on paper forms.

Technological and systems support for this mobile staff is focused on and measured on capability to support a defined quality consumer service performance level.

5.1.4.9. Compliance Relationship to Consumer Services

Compliance functionality is integrated as an element of case management to support delivery of services. The outcomes of compliance actions are recorded to the case record. The management information from compliance actions will be reported in conjunction with other statistical information related to cases, consumers, and performance (timeliness, no shows, etc.)

There is on-going administrative and staff skill building for evaluating problematic situations to determine the most appropriate course of action in negative consumer interactions around fraud and appeals. Stronger statewide standards will exist in policy for offering the consumer a conference through an in-house neutral third party (such as a pre-disposition conference) to attempt to resolve as a first step. Neutral third parties (other consumer services personnel) will be trained and certified in mediation methods.

Consumer services personnel will have an understanding of the cost of escalating negative issues rather than resolving consumer issues. Consumers will be educated in understanding their right for a faster resolution through a conference to discuss and resolve their issue. The To Be business model assumes that the participants, including the consumer, will have access during the conference to on-line regulations in order to inform and reinforce the appropriateness of the final action.

5.1.4.10. Modes of Communication between Service Delivery Personnel

Multiple modes of contact for consumer service will be in place for providers, service delivery partners, and stakeholders, including:

- Face to face
- On-line
- Voice
- Electronic tools
- Web conference
- Web postings
- Verbal reinforcement
- Written communication (memos, newsletters)
- Personal communication with local providers
- Local channels of local communication
- Videos that run in offices for staff and consumer education

5.1.4.11. Service Delivery Standards

There are standards for consumer service outcomes at first point of contact that is similar in look and feel across localities. There is a uniform method for continuously evaluating,





measuring and adjusting performance against the standard from one service delivery site to another.

Policy clearly states performance expectations for use of available automated systems. Information in the automated system is the official record, not information on paper.

Urgent and longer range service requirements are differentiated via a single data gathering tool and structured, rule-based universal financial and services assessment mechanism. In emergency situations, the information needed to support identification of "emergency" is the only information required in order to make a work assignment to the appropriate staff in the appropriate location for an immediate response. If no emergency is identified, analysis is completed of the consumer's full range of needs. VSSS regulations required to document eligibility for certain services will not prevent building a universal financial and services plan at point of first contact and supplying services that are not constrained by policy.

At the end point of the first contact, it is expected that an initial assessment and service plan will be in place and referrals for emergency services and/or delivery of immediate services will be complete. The consumer will be issued a VSSS packet to explain the relationship between the consumer and VSSS and the responsibilities of each, a copy of any applications, a copy of the initial assessment, a copy of the initial service plan, any recommendations and suggested services, and supportive information such as appointment calendars, maps, and transportation vouchers.

In the event of an emergency referral from assessment personnel, the emergency services employee will finalize the universal financial and services assessment and plan during the contact with the household, child and/or adult, and will be responsible for convening the Consumer Services Coordination Team, if required by the circumstances of the situation.

Information will only be gathered from the consumer one time. Information will be shared between service delivery personnel, both internal and external to VSS, as provided by law and as permitted by the consumer. VSSS policy will provide the greatest latitude for sharing that is possible within those two constraints.

EBT or EFT will be used for any type of cash payment, such as TANF, Child Care, Foster Care Maintenance, nursing home and adult home payment, companion services, or private providers. Routine paper check issuance and reconciliation are eliminated.

If there are longer-term services needs, an immediate referral is made to a Consumer Services Coordination Team (CSCT), chosen by the Assessment person using the calendaring, special skills data, and workload assignment feature. The CSCT is required to meet with the consumer within 48 hours, at a time and place convenient to the consumer. The initial meeting with the consumer is face to face, when the circumstances require it. A contact vs. a face to face may be more appropriate in defined situations. Subsequent meetings with the consumer may be in virtual mode when "meetings" are necessary.

Consumers have ready access to their case information and service delivery history via selfservice access to the shared pool of information.





See Appendix E for additional detail on the Consumer Services Core Function.

5.1.5. INTERFACES/RELATIONSHIPS WITH OTHER STATE BUSINESS FUNCTIONS

It is assumed in the To Be business model that interfaces with other business functions will provide for a higher quality of service and/or higher quality outcomes.

VSSS business internal partnerships (such as Licensing and DCSE) and with other State agencies (such as DMAS) will have clearly stated roles and responsibilities. A cost analysis will be performed to identify costs associated with paper-based and manual information flow between inter-departmental personnel.

Based on the business case for improved performance within VSSS or its partner agencies, changes will be prioritized for system enhancements. Policy will be aligned between VSSS and its policy partners to simplify and reduce complexity, labor and cost. Policy development by VSSS or its partners will require multi-disciplinary and multi-departmental participation in development of language and assessment and mitigation of impacts. Policy impacts will be modeled in the VSSS business modeling laboratory.

The BPR Team sees a distinct advantage in establishment of service level agreements to replace memorandums of understanding to better support performance measurement internally and externally. Service level agreements become a component of contracts between providers.

5.1.5.1. DCSE

In the case of DCSE, the BPR Team has noted that the Team approach to consumer services may result in better information about absent parents than is available in the As Is business model.

The electronic interface between DCSE's system and ADAPT must be enhanced to eliminate the manual processing of disregard information. Disregard information should be sent directly to ADAPT as though key entered to support the appropriate financial calculation.

5.1.5.2. Division of Licensing

The BPR Team identified that information that is noted in OASIS regarding conditions at licensed facilities should be immediately passed to DOLPHIN to generate alerts to licensing personnel to follow-up as well as sharing of licensing restrictions, changes regarding facilities, and providers paid by VSSS financial systems.

5.1.5.3. DMAS

Some outreach activities that DMAS has instituted may not be necessary in the collaborative community-based partnership model. On issues of medical services policy, DMAS may need to be included as a participant in the business modeling laboratory in order to develop the business case fully for policy implementation.





5.1.5.4. The To Be Model and Comprehensive Service Act (CSA)

In many ways the To Be model supports the mission and intent of CSA in a much more effective manner than is possible in the As Is environment. The VSSS assessment approach will allow for an assessment for at-risk children earlier in the continuum of services. The composite tool will, at a minimum, provide the communication link between VSSS and CSA to eliminate information handling more than once.

The VSSS Consumer Service Coordination Team convened for households is intended to meet the criteria for CSA Family Assessment and Planning Team's multi-disciplinary approach. It is assumed in the To Be model that VSSS multi-disciplinary universal financial and services assessment will replace or combine with the CSA assessment process. It is a critical assumption of the To Be business model, that redundancy and duplicative effort between VSSS and CSA will be eliminated.

The To Be business model assumes establishment of an agreement for information sharing with CSA to eliminate duplicative paper-based information and to share electronic records. It is assumed that CSA standards and policy will be integrated into VSSS policy and practice, and that the universal assessment and financial and services assessment tool will be designed to assure that work only has to be completed one time by the VSSS service delivery employee.

The To Be business model assumes coordination and collaboration with CSA to provide an electronic mechanism for completing the CAFAS. Sharing of the electronic CAFAS is jointly available to CSA and VSSS employees for performance of job functions.

5.1.5.5. The Courts

In the To Be business model, it is an expectation that VSSS will collaborate with the court system to supply court orders electronically, and, in turn, for VSSS to provide court reports electronically.

5.1.6. GRAPHIC DEPICTIONS OF THE BUSINESS MODEL

The following pages contain specific information about each of the activities identified for each of the four core functions:

These sections contain a flow chart and a graphic highlighting the triggering events, inputs, outputs, and outcomes for each activity. Following those graphics are listings of characteristics of each activity. Characteristics include:

- Purpose
- Hand-offs
- Cost drivers
- Integral and peripheral act ivies
- Required information management support
- System to system communication
- Performance standards
- Human Resource requirements
- Policy issues or procedural issues

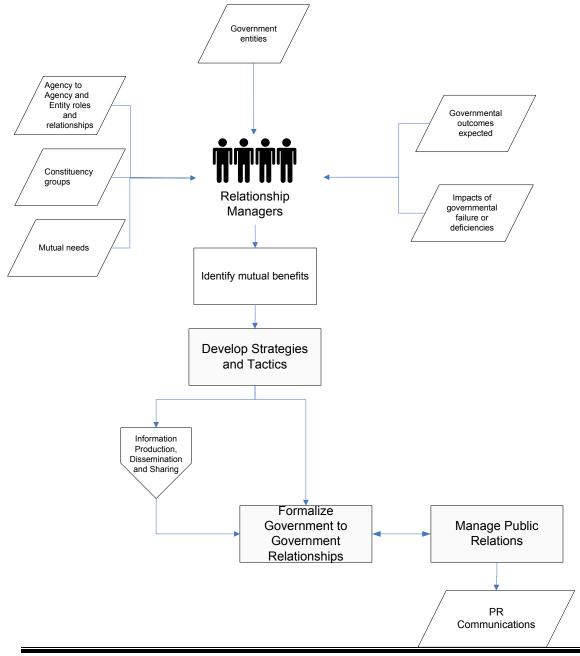




5.2. STRATEGIC PLANNING AND MANAGEMENT BUSINESS ACTIVITY DESCRIPTIONS

5.2.1. GOVERNMENTAL RELATIONSHIPS

Governmental Relationships





Purpose - Governmental Relationships

To maintain strong, supportive, trusting relationships between government entities that produce on-going interactions, generally reflecting goodwill, and, that have the capacity to produce positive outcomes.

Trigger:

√ There is an identified State or local government relationship that must be nourished

Input:

- ✓ Government entities
- ✓ G to G relationships
- ✓ Entity roles and relationships
- ✓ Constituency groups
- ✓ Mutual needs
- ✓ Governmental outcomes expected
- ✓ Impacts of governmental failure or deficiencies

Governmental Relationships

Outcome:

 Formalized government-to-government business philosophies/agreements that are the foundation for planning mutually beneficial strategic and tactical actions that enhance and improve services to constituencies.

An example might be the formation of a Local Advisory Committee on operational issues chartered by VLSSE, and its affiliates. This advisory body will serve on an on-going basis to provide input to the VDSS Commissioner on change issues. The advisory body could rotate up to 15 local directors (with one of the advisory committee members being a VLSSE officer) on rotating 2 year terms, so that ½ of the members rotate out each year. The advisory group should have weekly web conferences with the Commissioner to provide input on State and local operations. An ad hoc advisory group of local community-based services providers could be formed to provide another perspective to the Commissioner in parallel with the local agency directors.

Another example might be a formalized briefing on a routine basis by the Commissioner's office for JLARC, the Secretary's office, legislators, the Local Government Association, or others, to update them on progress VSSS is making on meeting its strategic and tactical objectives, specifically how its reengineering effort is progressing, or to educate on the level of transparency that efforts intend to produce in VSSS as to cost, performance, statistical and financial information.

Output:

- Formalized government to government relationships
- ✓ Strategies
- √ Tactics
- √ Identified mutual benefits
- Modified formal government to government understandings
- ✓ Public relations





Characteristics of the New Business Model:

Trigger

There is an identified State or local government relationship that must be nourished.

2. Purpose

To maintain strong, supportive, trusting relationships between government entities that produce on-going interactions, generally reflecting goodwill, and, relationships that have the capacity to produce positive outcomes.

3. Inputs

- a. Government entities
- b. G to G relationships
- c. Entity roles and relationships
- d. Constituency groups
- e. Mutual needs
- f. Governmental outcomes expected
- g. Impacts of governmental failure or deficiencies

4. Outputs

- a. Formalized government to government relationships
- b. Strategies
- c. Tactics
- d. Identified mutual benefits
- e. Modified formal government to government understandings
- f. Public relations

5. Outcomes

Formalized government-to-government business philosophies/agreements that are the foundation for planning mutually beneficial strategic and tactical actions that enhance and improve services to constituencies.

An example might be the formation of a Local Advisory Committee on operational issues chartered by VLSSE, and its affiliates. This advisory body will serve on an on-going basis to provide input to the VDSS Commissioner on change issues. The advisory body could rotate up to 15 local directors (with one of the advisory committee members being a VLSSE officer) on rotating 2 year terms, so that ½ of the members rotate out each year. The advisory group should have weekly web conferences with the Commissioner to provide input on State and local operations. An ad hoc advisory group of local community-based services providers could be formed to provide another perspective to the Commissioner in parallel with the local agency directors.

Another example might be a formalized briefing on a routine basis by the Commissioner's office for JLARC, the Secretary's office, legislators, the Local Government Association, or others, to update them on progress VSSS is making on meeting its strategic and tactical objectives, specifically how its reengineering effort is progressing, or to educate on the level of transparency that efforts intend to produce in VSSS as to cost, performance, statistical and financial information.





6. Hand-Offs

- a. Commissioner
- b. Secretary
- c. Commissioner's and Secretary's offices
- d. State and Local Director
- e. Legislative

7. Cost Drivers and Costs

- a. Time and collaboration required to support and nourish the relationship
- b. Communication expenses web conferencing, systems connections to exchange data, face to face meetings, briefings

8. Integral Activities

- a. State agency operations
- b. Local Agency operations
- c. Local agency initiatives
- d. VDSS initiatives
- e. State Board of Social Services
- f. Federal initiatives
- g. Local (city and county) political bodies and agendas
- h. General Assembly actions
- i. Governor's programs, initiatives

9. Peripheral Activities

- a. Community-based services
- b. Division of Child Support Enforcement
- c. Department of Medical Assistance Services
- d. Community Action Agency
- e. Council on Virginia's Future
- f. Poverty law and advocacy groups

10. Information Management Support to Achieve Result Desired

- a. Web conferencing
- b. Office automation tools

11. Changed System to System Communication

a. Communication across existing and new systems to effect statewide sharing of information on cost, performance, statistical and financial information

12. Define Performance Standards

- a. Agendas support effectiveness of web meetings
- b. Web meetings provide for two way communication
- c. Face to face meetings are supported by high-speed transportation
- d. Meetings are not cancelled
- e. Briefings are not cancelled





- f. Transparency of cost, performance, statistical and financial information is maintained
- g. Information is released consistently that presents the state of VSSS government to government relationships
- h. Government to government relationships are positive and supportive of the proposed changes in the VSSS

a.

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job

It is not assumed that new or changed job classifications will be required for this activity. It will mean that the performance expectations and standards within the job descriptions may need to be re-written to explicitly describe the skills and abilities needed. The responsibilities for this activity rest in all management level positions across the enterprise.

2. Skills and Background

Civility, trust in the process of relationship building, an understanding of the role of healthy governmental relationships, commitment to two-way communication between levels of government and within the governance process, a solid understanding of the governance role and the public's trust or distrust of the governance process, the ability to understand the power of collaboration and the ability to collaborate; a high level of skill in conflict resolution is required; an understanding of the concepts of social justice.

3. High Level Job Description

Responsible for shaping an organizational structure and building government to government relationships that require two-way communication between levels of government and within government bodies; responsible for building a collaborative model of governance; responsible for putting in place formalized agreements between governmental entities that establish a philosophy for on-going relationships as a foundation for interaction, trust, civility and collaboration, responsibility for on-going feeding and nourishment of government to government relationships at all levels.

Identify Policy or Procedural Issues

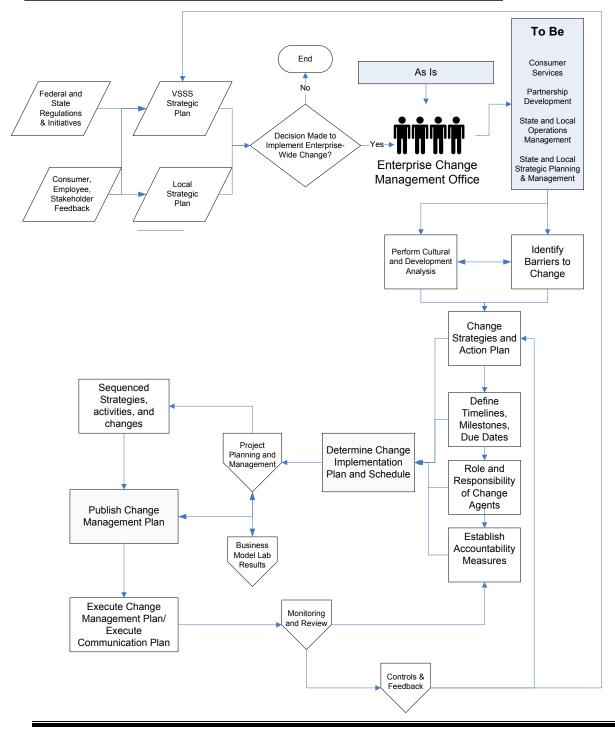
- 1. Policy related to relationship between State VDSS and local directors
- 2. Viability of an advisory committee on operations issues to the commissioner
- 3. Transparency of cost, performance, statistical and financial information
- 4. The statewide financial management system that will support this effort
- 5. The stability of leadership to build relationships and guide VSSS through the change efforts
- 6. Overcoming historical relationships and sacred cows





5.2.2. ENTERPRISE CHANGE MANAGEMENT

Enterprise Change Management





Purpose - Enterprise Change Management

To assure that the organization's day to day activities and the planned changes are managed in an enterprise model which is able to stay focused over time on the short and long-term business objectives for implementation of a new business model, by applying a methodology that provides the planning and supportive environment (work behaviors, staff growth and development and re-tooling, technology, culture) to prepare a receptive organization (inclusive of the partners) to implement business methods for achievement of a different business process or outcome.

Trigger:

 The organization has decided to implement an enterprisewide change in how business is conducted

Output:

- √ Change management strategies
- Priorities for sequencing of strategies/activities/changes for implementation
- Implementation plan with timelines and incremental changes
- Staff Growth and Development objectives
- ✓ Changed job functions
- ✓ Communication plan
- ✓ Change Management Plan
- Work group assignments and results
- Roles and responsibilities of change agents
- Accountability measures and consequences
- ✓ Identified funding gaps

Input:

- √ VSSS Strategic Plan
- ✓ Local Strategic Plans
- ✓ Action plan
- Policy and/or procedural initiatives as a result of legislation or Federal regulation changes
- Business model lab results from research and development
- ✓ Employee input
- ✓ Consumer/sponsor input and feedback
- ✓ Community partners' feedback
- ✓ Stakeholder feedback
- ✓ Analysis for staff growth and development
- ✓ Fiscal information/resources to support change
- Identification of barriers to change
- Identification of any other changes occurring within the enterprise and with partners that may impact change management objectives
- Cultural shift that is required where we are/where we want to go
- ✓ Timeline, milestones, due dates
- Controls and Feedback
- Standards and Procedures

Outcome:

Implementation of all the components of change are accomplished with the least organizational resistance based on the magnitude of the change



Enterprise

Change

Management



Characteristics of the New Business Model

1. Trigger

The organization is engaged in change efforts based on VSSS strategic planning objectives that require on-going and long-term, enterprise-wide change management

2. Purpose

To assure that the organization's day to day activities and the planned changes are managed in an enterprise model that is able to stay focused over time on the short and long-term business objectives for implementation of a new business model. A methodology is applied that provides the planning and supportive environment (work behaviors, staff growth and development and re-tooling, technology, culture) to prepare and maintain receptive organization (inclusive of the partners) to implement business methods for achievement of a dynamic business process or outcome.

3. Inputs

- a. VSSS Strategic Plan
- b. Local Strategic Plans
- c. Action plans
- d. Policy and/or procedural initiatives as a result of legislation or Federal regulation changes
- e. Business model lab results from research and development
- f. Employee input
- g. Consumer/sponsor input and feedback
- h. Community partners' feedback
- i. Stakeholder feedback
- i. Analysis for staff growth and development
- k. Fiscal information/resources to support change
- I. Identified barriers to change
- m. Identification of any other changes occurring within the enterprise and with partners that may impact change management objectives
- n. Cultural shift that is required where we are/where we want to go
- o. Timeline, milestones, due dates
- p. Controls and Feedback performance management

4. Outputs

- a. Change management strategies
- b. Priorities for sequencing of strategies/activities/changes for implementation
- c. Implementation plan with timelines and incremental changes
- d. Staff growth and development objectives
- e. Changed job functions
- f. Change Management Plan
- g. Work group assignments and results
- h. Roles and responsibilities of change agents
- i. Accountability measures and consequences
- j. Communication plan

Outcomes





- a. Implementation of all the components of change are accomplished with the least organizational resistance based on the magnitude of the change and with the least disruption in delivery of services to consumers
- Hand-Offs

Not Applicable

7. Cost Drivers and Costs

- a. Staff time and organizational requirements to manage change
- b. Communication expenses over variety of media
- c. On-going Monitoring, evaluation and modification as progress is made over time
- d. Cost of re-tooling work behaviors and work relationships
- e. System support for identified changes
- f. Potential increases in staff costs with increase of skills and competencies
- g. Conducting surveys of consumer and employee costs
- h. Facilities/amenities for community meetings for feedback and facilitation
- i. Reward and recognition system for improved performance after change

8. Integral Activities

- a. Strategic Planning efforts
- b. Budget Planning
- c. Ongoing staff development
- d. Business model lab analyses
- e. IT and systems development
- f. Policy and procedure development
- g. HR classification and compensation studies
- h. Communication

9. Peripheral Activities

- a. Partnership development
- b. External changes of community partners

10. Information Management Support to Achieve Result Desired

- a. Prerequisite systems information on performance, cost, financial or statistical information that provide a measure of change accomplishments
- b. Broad-based media capability to communicate to a variety of entities the goals and results of change management and best practices demonstrated by the changed work behaviors and work relationships
- c. Project Management Capability
- d. Automated support for surveying consumer and employee experience
- e. Collaborative work group automated tools

11. Changed System to System Communication N/A

12. Define Performance Standards

a. Coordination of multiple change efforts is carried out in a way that assures that changes are not impeded by lack of timeliness of any of the components





- b. Incremental implementation timelines are met routinely
- c. Infrastructure support for the scheduled changes are in place and operational
- d. Systems support for the scheduled changes are in place and operational
- e. Facilities, equipment and staffing support for the scheduled changes are in place and operational
- f. All impacted staff have been certified in required competencies and skills and have been fully equipped with hardware and software support within specified time frames for implementation of each incremental change
- g. Change management activities are carried out in compliance with policy
- h. Compliance with change management goals and objectives within established timelines and budget
- Positive feedback response for a specified percentage of targeted population staff surveys, consumer surveys
- j. Over a specified period of time, statewide there should be a pre-specified demonstration of competency in new work behaviors and demonstrated skill working within new work relationships, skill demonstrated in working with systems

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job

Change management may be assigned to any of several current job classifications that are accountable at the enterprise level. It is assumed that current staff is provided skills and competencies to become managers of change at all levels of the state and local enterprise. The role of the job is to function as VSSS's Change Control Officer. The job of Change Control Officer and the Change Management Team is to plan implementation strategies that can enjoy a high rate of success, with the least resistance and disruption possible. It is the job of the enterprise team to build and communicate the business case for the planned implementation scheme. State and local operational management is accountable to the change control officer. The assignment carries with it authority to assure that day to day activities are enhanced through implementation of incremental changes that will contribute to implementation of the To Be business model.

2. Skills and Background

Ability to perform analysis, identify problems and barriers, develop resolutions, develop plans and implement, ability to communicate effectively in a variety of media with a variety of areas, ability to accept and influence change and cultural shifts, and ability to perform fiscal management, comfortable with computer operation. Possess leadership skills, understand change and its impact on the individual as well as the organization, collaboration and facilitation skills, ability to communicate well in large variety of media, and have the ability to work exceedingly well with people. Understanding of the concepts of social justice; understanding of the role of change in relationship to quality service delivery.

3. High Level Job Description

The Change Management Team is responsible for planning for change implementation based on the desired new work behaviors and organizational culture. They are equally responsible for coordinating all the contributing activities, systems, infrastructure, facilities, equipment, staff development components related to changes, to assure that





the supportive components are in place and operational prior to an implementation due date. The Team is responsible for communicating throughout the effort to all stakeholders the desired outcome, its progress, the plan, timeline, due dates, expected roll out, expected delivery of systems, infrastructure, equipment, and training for startup. The Team is responsible for coordination of multiple changes (including policy, procedure, HR and IT) and managing the impacts, and for gauging staff response to change, and responding appropriately. The Change Management team is responsible for measuring change results via benchmarks, performance metrics, and cost, statistical and financial information. The Change Management Team is responsible for on-going adjustment of change methodologies based on best practices research. The Change Control Officer, and assigned Change Management Team(s), is responsible for management of budgets and resources.

Identify Policy or Procedural Issues

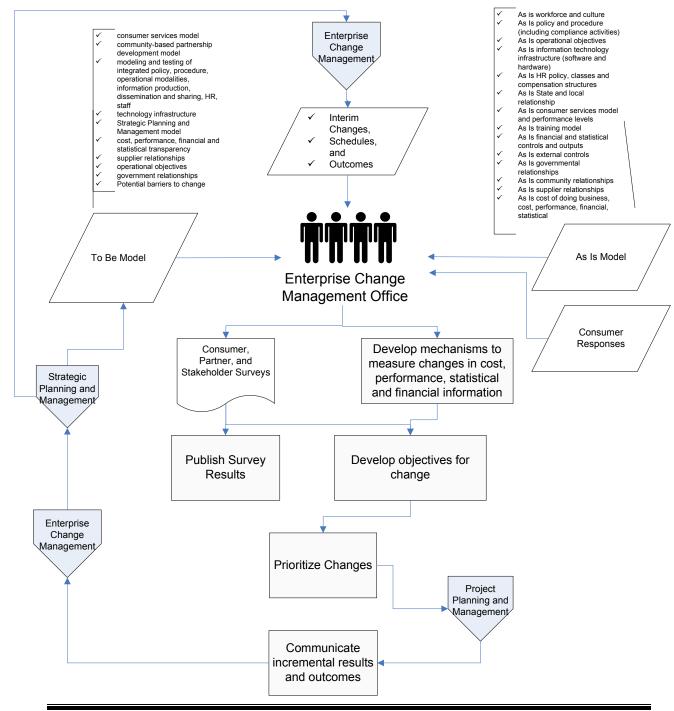
- 1. Active, visible and committed leadership
- 2. Acceptance of change objectives and understanding of employees' roles in achieving them
- 3. Organizational placement of change management criticality of change management to the strategic planning effort
- 4. Organization leniency that permits staff to fall back into old comfort zones
- 5. Policy clarifications could result from change implementation or procedures may be rewritten at either the state or local level
- 6. Change needs to start at the leadership and goes all the way through the organizations
- 7. Communication is critical Correct information needs to be communicated at the right time in the right way to the right people consistently and on a continuum
- 8. Incremental changes that have a positive impact implemented as scheduled cultural change moves progressively forward as each change builds upon another and moves toward the final goal
- 9. Organization cooperation to meet the change management schedule
- 10. Government to government agreements to support the change effort
- 11. Funding must be allocated for a change management team and for the supportive activities that must be in place and operational to permit the changes to occur
- 12. Staff will be expected to be able and/or willing to assimilate the knowledge or gain the skills to be proficient in technology and work behaviors
- 13. Management at each level of VSSS will be expected to be supportive of and reinforce the behaviors and skills required in the new business model
- 14. Performance standards and accountability will require a high level of discipline and commitment across the enterprise
- 15. An internal collaborative framework must exist that encourages all the parties to cooperate and communicate in achieving the new business model





5.2.2.1. Operational Business Objectives

Operational Business Objectives





Purpose - Operational Business Objectives

To assure that business objectives are established for guiding a coordinated change effort over the long-term across diverse and competing operational obligations (day to day operations, interim change implementations and implementation of the To Be business model) within varying stovepipe interests in the As Is Business model, including the full span of program policy and compliance work assignments at both the State and local levels, information technology, human resources administration, administrative support functions (fiscal, budgets, reporting, general services) and service delivery partners

Trigger:

 Adoption of a formal Enterprise Change Management activity that spans State and local operations

Operational Business Objectives

Output:

- Enterprise-wide objectives for scheduled changes
- Day to day evaluation of internal and external stimuli
- ✓ Reinforcement of objectives
- ✓ Adjustment of objectives
- ✓ Consumer surveys
- ✓ Partner surveys
- ✓ Stakeholder Surveys

Input:

- As Is policy and procedure (including compliance activities)
- ✓ As Is operational objectives
- ✓ As Is information technology infrastructure (software and hardware)
- ✓ As Is HR policy, classes and compensation structures
- ✓ As Is State and local relationship.
- As Is consumer services model and performance levels
- ✓ As Is training model
- ✓ As Is financial and statistical controls and outputs
- As Is external controls
- ✓ As Is governmental relationships
- ✓ As Is community relationships
- ✓ As Is supplier relationships
- ✓ Interim changes identified
- Interim change schedules
- ✓ Interim change outcomes
- ✓ Consumer responses
- ✓ To Be consumer services model
- ✓ To Be community-based partnership development model
- ✓ To Be modeling and testing of integrated policy, procedure, operational modalities, information production, dissemination and sharing, HR, staff growth and development, performance standards, communication, and community-based partner services
- ✓ To Be technology infrastructure
- ✓ To Be Strategic Planning and Management model
- ✓ To Be cost, performance, financial and statistical transparency
- To Be supplier relationships
- ✓ To Be operational objectives
- ✓ To Be government relationships
- Potential barriers to change

Outcome:

 A foundation and framework for bringing cohesion to day to day management obligations and change initiatives, resulting in an enterprise-wide focus on and commitment to both short and long-term strategic objectives





Characteristics of the New Business Model

1. Trigger

Adoption of a formal Enterprise Change Management activity that spans State and local operations

2. Purpose

To assure that business objectives are established for guiding a coordinated change effort over the long-term across diverse and competing operational obligations (day to day operations, interim change implementations and implementation of the To Be business model) within varying stovepipe interests in the As Is Business model, including the full span of program policy and compliance work assignments at both the State and local levels, information technology, human resources administration, administrative support functions (fiscal, budgets, reporting, general services) and service delivery partners.

3. Inputs

- a. As is workforce and culture
- b. As Is policy and procedure (including compliance activities)
- c. As Is operational objectives
- d. As Is information technology infrastructure (software and hardware)
- e. As Is HR policy, classes and compensation structures
- f. As Is State and local relationship
- g. As Is consumer services model and performance levels
- h. As Is training model
- i. As Is financial and statistical controls and outputs
- i. As Is external controls
- k. As Is governmental relationships
- I. As Is community relationships
- m. As Is supplier relationships
- n. As Is cost of doing business, cost, performance, financial, statistical
- o. Interim changes identified
- p. Interim change schedules
- g. Interim change outcomes
- r. Consumer responses
- s. To Be consumer services model
- t. To Be community-based partnership development model
- To Be modeling and testing of integrated policy, procedure, operational modalities, information production, dissemination and sharing, HR, staff growth and development, performance standards, communication, and community-based partner services
- v. To Be technology infrastructure
- w. To Be Strategic Planning and Management model
- x. To Be cost, performance, financial and statistical transparency
- y. To Be supplier relationships
- z. To Be operational objectives
- aa. To Be government relationships
- bb. Potential barriers to change





d.

4. Outputs

- a. Enterprise-wide objectives for scheduled changes
- b. Prioritization of changes
- c. Defined change outcomes
- d. Mechanisms to measure changes in cost, performance, statistical and financial information
- e. Day to day evaluation of internal and external stimuli
- f. Reinforcement of objectives
- g. Adjustment of objectives
- h. Consumer surveys
- i. Partner surveys
- j. Stakeholder Surveys
- k. Communication of business objectives, incremental results and outcomes to VSSS and stakeholders as compared against the business objectives

Outcomes

a. A foundation and framework for bringing cohesion to day to day management obligations and change initiatives, resulting in an enterprise-wide focus on and commitment to both short and long-term strategic objectives.

6. Hand-Offs

- a. Change Management to Operational Management
- b. Operational Management to Change Management
- c. Change Management to Strategic Planning and Management
- d. Strategic Planning and Management to Change Management

7. Cost Drivers and Costs

- a. Planning time and effort to develop enterprise change management business objectives
- b. Potentially misstating the business objectives
- c. Failure to meet the business objectives
- d. Communication of objectives, results and outcome measured against objectives
- e. Cultivating positive support for cohesive management of day to day activities and change together
- f. Unknown factors and variances that can not be anticipated

8. Integral Activities

- a. Strategic Planning and Management
- b. Operational Management
- c. Consumer Services
- d. Controls and Feedback

9. Peripheral Activities

- e. Partnership Development
- 10. Information Management Support to Achieve Result Desired





- f. Office automation tools are required for documenting and storing business objectives and for measuring progress and outcomes against the objectives.
- 11. Changed System to System Communication N/A

12. Define Performance Standards

- a. Business objectives have the strength of the business case for change, including the benefits expected when achieved
- b. Sponsorship
- c. Backed up with enterprise authority
- d. Widely accepted at the State and local level
- e. Widely accepted across disciplines

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job

This sub-activity is carried out at the enterprise level by an individual or individuals respected for knowledge of and commitment to the enterprise's goals. It does not require a specific job class.

2. Skills and Background

Ability to analyze gaps between the As Is and To Be models; ability to assess and measure the effects of incremental changes; the ability to understand the cost-benefit of the sequencing of incremental changes during the transition from the As Is to the To Be; must be able to properly articulate realistic business objectives for the transition; the ability to measure reactions to measures to achieve the business objectives and determine if objectives must be reinforced or adjusted; ability to measure progress against objectives.

3. High Level Job Description

This individual is responsible for the establishment of realistic business objectives for statewide enterprise change management to guide the transition from the As Is to the To Be business model, and to measure reaction and response to the transition at any given time to determine if the objectives must be reinforced or if the objectives must be adjusted. The individual is responsible for routine measurement and reporting on progress in meeting the business objectives.

Identify Policy or Procedural Issues

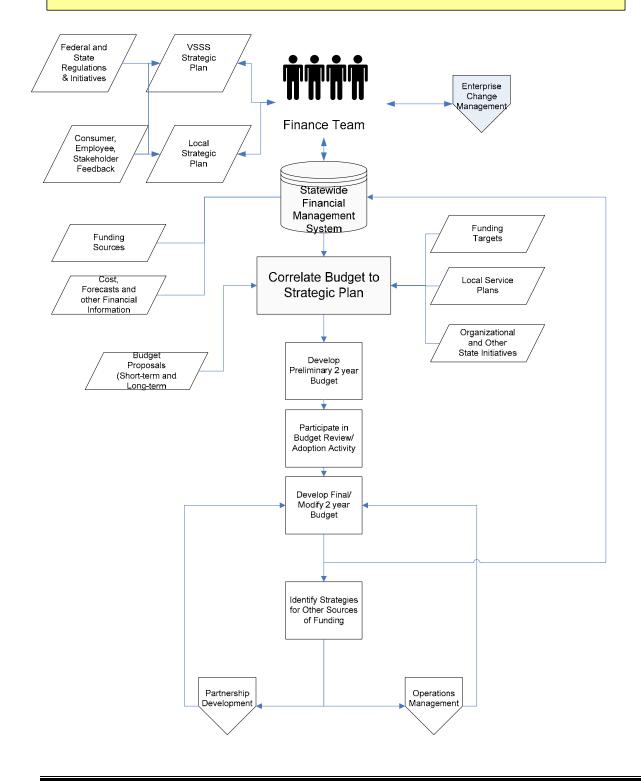
- 1. Broad-based understanding and acceptance of the importance of this sub-activity
- 2. Universal acceptance of the enterprise change management business objectives
- 3. On-going cooperation across the State and local relationship for meeting the business objectives
- 4. Skill to set clear, achievable and measurable business objectives





5.2.3. BUDGET PLANNING & RESOURCE ALLOCATION

Budget Planning and Resource Allocation







Purpose - Budget Planning & Resource Allocation

To properly fund the right allocation of resources to achieve the organization's purpose and the enterprise's business objectives.

Trigger:

 There is a defined need to strategically allocate funds to both day to day business activities and to organizational initiatives

Budget
Planning &
Resource
Allocation

Input:

- ✓ Strategic plan
- ✓ Action plans
- ✓ Consumer groups
- Consumer needs
- ✓ Local resource requirements
- ✓ State resource requirements
- ✓ Community-based services partnerships
- ✓ Funding sources
- Federal regulations
- ✓ State regulations
- ✓ Business partners
- ✓ VSSS policy
- ✓ Organizational initiatives
- ✓ Cost benefit analysis
- ✓ Business case for actions
- √ Forecasts
- ✓ Performance standards and measures – current and future
- Performance management objectives
- Cost, performance, financial and statistical information
- Other state initiatives

Output

- ✓ Correlation of the budget to the strategic plan
- ✓ Identified funding targets
- ✓ Budget proposals
- ✓ Final budget

Outcome:

✓ A financial plan to assist in fulfilling the goals of the overall strategic plan, with cyclical funding allocations that meet the needs of the day to day business environment as well as strategically supporting enterprise-wide goals for change





Characteristics of the New Business Model

1. Trigger

There is a defined need to strategically allocate funds to both day to day business activities and to organizational initiatives.

2. Purpose

To properly fund the right allocation of resources to achieve the organization's purpose and the enterprise's business objectives.

3. Inputs

- a. Strategic plan
- b. Action plans
- c. Consumer groups
- d. Consumer needs
- e. Local resource requirements
- f. State resource requirements
- g. Community-based services partnerships
- h. Funding sources
- i. Federal regulations
- j. State regulations
- k. Department of Planning and Budget (DPB) policy and requirements
- I. Governor and General Assembly priorities
- m. Service Area Plans
- n. Business partners
- o. VSSS policy
- p. Organizational initiatives
- q. Cost benefit analysis
- r. Business case for actions
- s. Forecasts
- t. Performance standards and measures current and future
- u. Performance management objectives
- v. Cost, performance, financial and statistical information
- w. Other state initiatives

4. Outputs

- a. Correlation of the budget to the strategic plan
- b. Identified funding targets
- c. Budget proposals short-term and long-term
- d. Final budget
- e. Statewide financial management system updates
- f. Other sources of funding to augment traditional funding sources

5. Outcomes

A financial plan to assist in fulfilling the goals of the overall strategic plan, with cyclical funding allocations that meet the needs of the day to day business environment as well as strategically supporting enterprise-wide goals for change





6. Hand-Offs

- a. Strategic Planning and Management and Enterprise Change Management to Budget Planning and Resource Allocation
- b. Budget Planning and Resource Allocation to Enterprise Change Management
- c. Enterprise Change Management to Budget Planning and Resource Allocation
- d. Budget Planning and Resource Allocation to Strategic Planning and Management
- e. Strategic Planning and Management to the Secretary's Office
- f. Secretary's Office to Strategic Planning and Management and Budget Planning and Resource Allocation
- g. Strategic Planning and Management to the State's Department of Planning and Budget
- h. VA Department of Planning and Budget to Strategic Planning and Management
- i. Back and forth communication in "h" to finalization
- j. VA DPB to Governor's Office for inclusion in Governor's budget
- k. Governor's Office to General Assembly for review and approval
- I. General Assembly to State Budget
- m. Strategic Planning and Management and DPB work together to implement
- n. Strategic Planning and Management to Enterprise Change Management
- Enterprise Change Management to VSSS Operational Management and Consumer Services

7. Cost Drivers and Costs

- a. Strategic planning effort correlated to the budget planning effort
- b. General Assembly nourished relationship
- c. Local funding needs as a component of budget planning and resource allocation
- d. Enterprise change management needs as a component of budget planning and resource allocation
- e. Communicating budget planning and resource allocation targets throughout VSSS
- f. Aligning budget planning and resource allocation with performance management objectives

8. Integral Activities

- a. VSSS Strategic Planning and Management
- b. Enterprise Change Management
- c. Federal funding sources
- d. State and local governance initiatives/activities
- e. Local governance budget planning
- f. General Assembly
- g. Department of Planning and Budget
- h. Secretary's Office
- i. Governor's Office
- i. Consumer Services
- k. Partnership Development
- I. State and Local Operational Management
- m. Business Modeling Laboratory (cost-benefit analysis and/or business case)





9. Peripheral Activities

a. Council for Virginia's Future

10. Information Management Support to Achieve Result Desired

- a. A statewide VSSS financial management system that communicates with the State's financial management system and local finance office management systems
- b. Automated support for performance management information, performance standards, performance metrics, activity-based costing
- c. Automated budgeting and resource allocation capability that forecasts financial needs based on enterprise-wide strategic objectives

11. Changed System to System Communication

a. Communication across VSSS multiple system platforms

12. Define Performance Standards

- a. The budget is prepared after the strategic plan is updated
- b. The budget supports the enterprise-wide business objectives
- c. The budget reflects desired performance management outcomes
- d. The budget reflects activity-based costing information across the enterprise
- e. The budget properly resources both the day to day business activities and the organizational initiatives for change
- f. The budget does not drive strategic planning and management outcomes

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job

The BPR Team does not see the need for new job classes for this activity; rather, it is assumed that the budget planning and resource allocation activity is carried out differently than the As Is traditional model, thus requiring a somewhat different set of skills.

2. Skills and Background

Ability to participate in and contribute to the Strategic Planning and Management core function to assure understanding of the business case for enterprise-wide change initiatives; ability to understand that the budget planning and resource allocation activity supports, not drives, the strategic planning and management outcomes; ability to integrate leadership and managerial skills; ability to collaborate with the enterprise change management activity to assure resource allocation not only meets the day to day activities throughout the transition, but also supports the enterprise-wide change efforts; ability to support shaping the business case for change to the General Assembly; ability to apply performance management outcomes and activity-based costing information to budget planning and resource allocation; ability to do enterprise resource planning; ability to run an iterative model to determine what will need to happen to assure strategic objectives are met; ability to articulate the enterprise performance standards based on the iterative model;





ability to maximize funding sources to augment State and local needs when traditional funding streams are inadequate to achieve strategic objectives.

High Level Job Description
 This individual is responsible for developing both short term and long term financial plans that demonstrate how VSSS will fund VSSS strategic initiatives, inclusive of day to day business activities.

Identify Policy or Procedural Issues

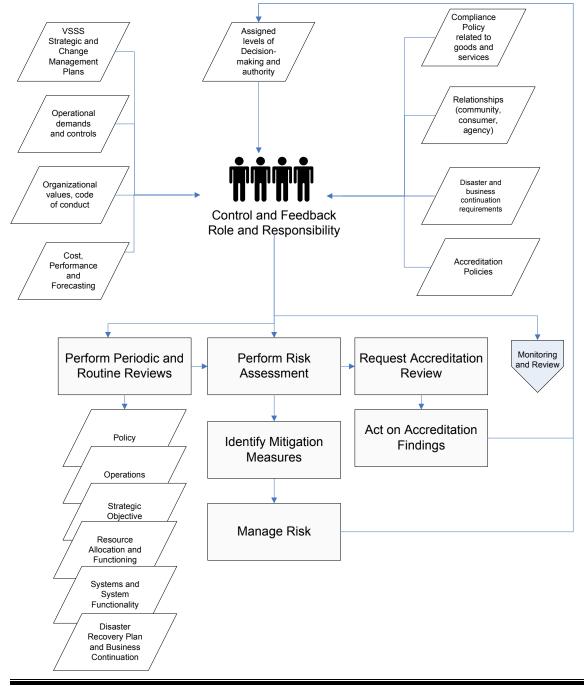
- 1. Clarifying the relationship between strategic planning and budget planning as a supportive activity, not a driving activity
- 2. Relationship between VSSS and the General Assembly, and the importance of financial support for the shift in culture as well as the day to day business
- 3. Action plans designed to support enterprise-wide values, mission and goals
- 4. A cascading strategic planning model that reaches across all participants in the organization
- 5. Use of activity-based costing mechanisms
- 6. A statewide financial management system a single, transparent, repository of enterprise-wide, budget, cost, performance, financial and statistical information (enterprise-wide, real time facts)
- 7. Performance management based on performance standards and expected performance outcomes
- 8. Enterprise change management model





5.2.4. CONTROLS AND FEEDBACK

Controls and Feedback





Purpose - Controls and Feedback

To establish a robust control environment that contributes significantly to VSSS ability to achieve strategic objectives while continuing to manage in the day to day world.

Trigger:

 Enterprise-wide commitment to achieving aggressive strategic objectives demands an effective control and feedback activity

Controls and Feedback

Output:

- ✓ Cost-benefit analysis of control mechanisms
- ✓ Planned control mechanisms preventative and detective
- ✓ Monitoring and review mechanisms
- ✓ Communication and feedback mechanisms
- Risk assessment reputational, financial, strategic, operational and compliance
- √ Risk management plan
- ✓ Mitigation measures
- Response procedures to breaches (security, safety, ethics, fraud)
- Audits of State and local activity-based inputs and outputs – adherence to policy
- Audits of State and local activity-based outcomes adherence to strategic objectives
- ✓ Audits of resource allocation to results
- ✓ Audits of policies to outcomes
- Audits of Committee and work group structure and functioning
- ✓ Audits of systems and system functionality
- Audits of disaster recovery and business continuation planning
- ✓ Voluntary accreditation reviews

Input:

- VSSS Strategic Plan objectives and priorities
- Enterprise Change Management tactical plans and objectives
- Organizational values, mission and legal obligations
- ✓ Short-term operational demands
- ✓ Policy related to goods and services, including compliance activities
- ✓ Code of conduct ethics expectations
- ✓ Reliable and complete cost, performance, financial and statistical information
- Assigned levels of decision-making and authority
- Operational controls
- ✓ Computing controls
- ✓ Reporting hierarchies
- ✓ Budget and resource allocation
- ✓ Government to government relationships
- Consumer relationships
- ✓ Local relationships
- ✓ Community-based relationships
- Forecasts (regulations, consumer-based services, personnel, facilities, equipment, industry best practices, benchmarks, demographics)
- ✓ Disaster recovery requirements
- ✓ Business continuation requirements
- Accreditation policies

Outcome:

 Actions and outcomes are consciously controlled to maintain consistency with the enterprise-wide strategic objectives, consistent with the values of the organization, and demonstrate enterprisewide accountability





Characteristics of the New Business Model

1. Trigger

Enterprise-wide commitment to achieving aggressive strategic objectives demands an effective control and feedback activity

2. Purpose

To establish a robust control environment that contributes significantly to VSSS ability to achieve strategic objectives while continuing to manage in the day to day world.

3. Inputs

- a. VSSS Strategic Plan objectives and priorities
- b. Enterprise Change Management tactical plans and objectives
- c. Organizational values, mission and legal obligations
- d. Short-term operational demands
- e. Policy related to goods and services, including compliance activities
- f. Code of conduct ethics expectations
- g. Reliable and complete cost, performance, financial and statistical information
- h. Assigned levels of decision-making and authority
- i. Operational controls
- j. Computing controls
- k. Reporting hierarchies
- I. Budget and resource allocation
- m. Government to government relationships
- n. Consumer relationships
- o. Local relationships
- p. Community-based relationships
- q. Forecasts (regulations, consumer-based services, personnel, facilities, equipment, industry best practices, benchmarks, demographics)
- r. Disaster recovery requirements
- s. Business continuation requirements
- t. Accreditation policies

4. Outputs

- a. Cost-benefit analysis of control mechanisms
- b. Planned control mechanisms preventative and detective
- c. Monitoring and review mechanisms
- d. Communication and feedback mechanisms
- e. Risk assessment reputational, financial, strategic, operational and compliance
- f. Risk management plan
- g. Mitigation measures
- h. Response procedures to breaches (security, safety, ethics, fraud)
- i. Audits of State and local activity-based inputs and outputs adherence to policy
- j. Audits of State and local activity-based outcomes adherence to strategic objectives
- k. Audits of resource allocation to results
- I. Audits of policies to outcomes
- m. Audits of Committee and work group structure and functioning





- n. Audits of systems and system functionality
- o. Audits of disaster recovery and business continuation planning
- p. Accreditation reviews

5. Outcomes

Actions and outcomes are consciously controlled to maintain consistency with the enterprise-wide strategic objectives, consistent with the values of the organization, and demonstrate enterprise-wide accountability

6. Hand-Offs

N/A

7. Cost Drivers and Costs

- a. Inter-disciplinary approach to enterprise-wide control and feedback
- b. Collaboration across diverse interests
- c. Communication tools
- d. Reporting tools
- e. Audit tools
- f. Audit procedures and methodologies
- g. Risk management methodologies
- h. Responses for breaches
- i. Disaster recovery and business continuation planning
- j. Reliable information on cost, performance, finances and statistics (outcome)
- k. Policies and procedures for Core Functions and activities
- I. Staff development in control and feedback skills

8. Integral Activities

- a. Strategic Planning and Management
- b. Operational Management
- c. Partnership Development
- d. Consumer Services
- e. Enterprise Change Management
- f. Staff Growth and Development

9. Peripheral Activities

State and local governance structures and relationships

10. Information Management Support to Achieve Result Desired

- a. A statewide financial management system that produces reliable cost, performance, financial and statistical information
- b. Automated support for audit procedures, reviews and audit findings
- c. Web-based communication medium for control and feedback
- d. Well designed automated feedback approach that provides specific information needed for control to function
- e. Searchable and hyper-linked on-line policies and procedures
- f. Searchable and hyper-linked system documentation
- g. Automated support for disaster recovery and business continuation plans and procedures





11. Changed System to System Communication Communication across VSSS (State and local) systems

12. Define Performance Standards

- a. Control and feedback mechanisms are designed for inter-disciplinary use
- b. Control and feedback is an integral component of day to day operations
- c. On-going risk assessment is an integral component of day to day operations
- d. Mitigation measures are devised to minimize or eliminate risk
- e. The code of conduct is explicitly stated as to expectation and outcome
- f. Response to breaches is immediate
- g. All systems are recoverable from a disaster based on critical-path functions
- h. Each State and local activity can continue business in an "outage" based on critical-path functions

Human Resource Requirements for Critical New or Changed Jobs

2. Skills and Background

Ability to design control and feedback mechanisms that are effective in maintaining organizational direction toward strategic objectives; Ability to perform cost-benefit analysis to support the right mechanisms for the right situations for the right level of control; Skill and ability to utilize control and feedback mechanisms to communicate performance and performance problems; ability to recognize, analyze and mitigate risks; ability to assess risks and develop a risk management plan; ability to put mitigation measures in place to avoid or minimize risk; knowledge of the enterprise's legal and ethical obligations and ability to recognize when breaches have occurred; ability to develop and implement a code of conduct; ability to read enterprise-wide cost, performance, financial and statistical information and to recognize patterns of irregularity across the enterprise and recommend actions to make correction; Ability to receive feedback and utilize feedback mechanisms to improve strategic and tactical planning; ability to oversee and support planning activities to assure recovery and business continuation in event of disaster.

3. High Level Job Description

Individuals performing this role are responsible for actively participating in the control and feedback activity to assure the on-going integrity of the enterprise. The individuals will be responsible for monitoring and review of business activities within their areas of assigned responsibility. The responsibility of control and feedback is to be able to mitigate risk, recognize and respond to breaches, plan for unexpected events and the continued operation of the enterprise. The added expectation for individuals with a role in control and feedback is to assure the audit-ability of the enterprise's operations, systems and outcomes and to act on feedback responsibly.





Identify Policy or Procedural Issues

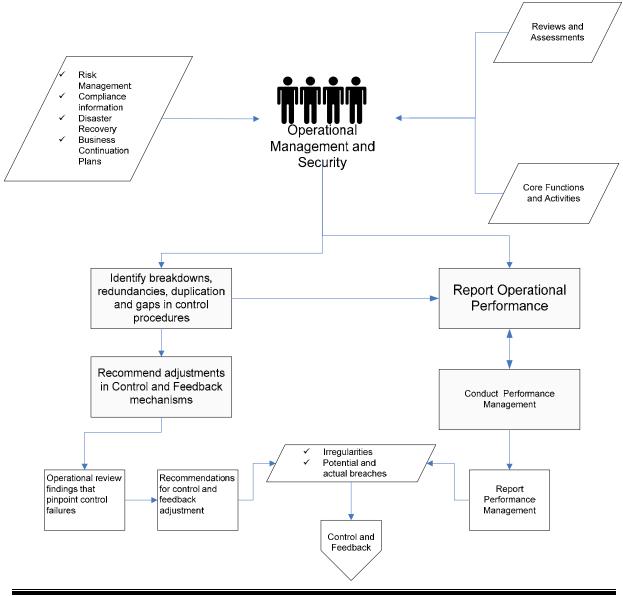
- 1. An enterprise-wide commitment to control and feedback mechanisms
- 2. An inter-disciplinary approach to control and feedback
- 3. Reporting hierarchy for control and feedback to the Strategic Planning and Management Core Function
- 4. Policies and procedures that support inter-disciplinary control and feedback
- 5. Code of conduct
- 6. Response procedures for breaches
- 7. Disaster recovery planning requirement
- 8. Business continuation planning requirement
- 9. An active and professional internal audit function supported by the executive level





5.2.4.1. Monitoring and Review

Monitoring and Review





Purpose - Monitoring and Review

To measure performance and the effectiveness of control and control structures.

Trigger:

 A control and feedback mechanism has been established to support achievement of the enterprise-wide strategic and tactical objectives.

Input:

- Control and feedback mechanism
- ✓ Core functions
- ✓ Core function activities
- ✓ Risk Management Plans
- ✓ Compliance information
- Disaster Recovery Plans
- ✓ Business Continuation Plans
- ✓ Breaches
- ✓ Irregularities
- ✓ Mitigation measures
- ✓ Independent review efforts
- Self-assessment efforts
- ✓ Management and supervision

Monitoring and Review

Output:

- Operational feedback on effectiveness and ineffectiveness of controls
- ✓ Staff identified breakdowns, redundancies, duplication and gaps in control procedures
- ✓ Operational review findings that pinpoint control failures
- Recommendations for control and feedback adjustment
- ✓ Reports, graphs and charts to support day to day performance management

Outcome:

 On-going and/or independent evaluation of effectiveness of control mechanisms affording opportunity to make adjustments.





Characteristics of the New Business Model

1. Trigger

A control and feedback mechanism has been established to support achievement of the enterprise-wide strategic and tactical objectives.

2. Purpose

To measure performance and the effectiveness of control and control structures.

3. Inputs

- a. Control and feedback mechanism
- b. Core functions
- c. Core function activities
- d. Risk Management Plans
- e. Compliance information
- f. Disaster Recovery Plans
- g. Business Continuation Plans
- h. Potential and actual Breaches
- i. Irregularities
- j. Mitigation measures
- k. Independent review efforts
- I. Self-assessment efforts
- m. Management and supervision

4. Outputs

- a. Operational feedback on effectiveness and ineffectiveness of controls
- b. Staff identified breakdowns, redundancies, duplication and gaps in control procedures
- c. Operational review findings that pinpoint control failures
- d. Recommendations for control and feedback adjustment
- e. Reports, graphs and charts to support day to day performance management

5. Outcomes

On-going and/or independent evaluation of effectiveness of control mechanisms affording opportunity to make adjustments.

6. Hand-Offs

- a. Monitoring and Review to Strategic Planning and Management
- b. Strategic Planning and Management to Controls and Feedback
- c. Controls and Feedback to Enterprise Change Management
- d. Enterprise Change Management to Operations Management

7. Cost Drivers and Costs

- a. On-going staff monitoring and review activities
- b. On-going management and supervisory monitoring and review
- c. Independent monitoring and review activities
- d. Self-assessment
- e. Adjustment and re-issuing of controls and feedback





- f. Real-time access to system(s) that collect and collate data in real time
- 8. Integral Activities
 - a. Controls and Feedback
 - b. Operations Management
 - c. Partnership Development
 - d. Consumer Services
- 9. Peripheral Activities
 - a. Legislative and regulatory
 - b. State and local governance
 - c. Accounting Management
 - d. Budget Planning and Resource Allocation
- 10. Information Management Support to Achieve Result Desired
 - a. Shared electronic information on enterprise-wide cost, performance, finances and statistics
 - b. Searchable and hyper-linked control and feedback policies and procedures
 - c. Shared access to Control and Feedback documentation
- 11. Changed System to System Communication N/A
- 12. Define Performance Standards
 - a. Monitoring and review of controls and control structures is on-going
 - b. Identification of failures or defects in control mechanisms results in immediate redesign of the control feature
 - c. Each individual employee is accountable for monitoring and review of control mechanisms and for feedback when the control is deemed ineffective
 - d. Monitoring and review findings are broadly published

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job

This is not a new job; rather it is a role and responsibility throughout the statewide VSSS enterprise that requires a new set of skills and abilities to continually evaluate the effectiveness of Controls and Feedback.

2. Skills and Background

Ability to understand the purpose of controls and feedback and ability to identify when controls are insufficient or ineffective in maintaining the integrity of the organization; ability to monitor controls to determine if they are functioning as intended; ability to perform comparison checks of system generated data with other information; ability to reconcile services delivered and the quality of work/services delivered against the financial management reporting system; ability to delegate authority at the appropriate level; ability to poll the consumer or community-based partners for input on outcomes and controls on outcomes; ability to compare real against inventoried assets; ability to monitor work production against hours expended; ability to read and interpret real-time





data; ability to investigate immediately public complaints/feedback; ability to recognize and respond to breaches or other events that threaten the integrity of the statewide enterprise.

3. High Level Job Description

The individuals carrying out this role are responsible, on an on-going basis, for selfand organizational monitoring to identify when control mechanisms are not sufficiently effective to assure that the enterprise-wide strategic objectives are being met. Supervision and management staff are responsible for clearly understanding the purpose for controls and are responsible for developing, assessing, maintaining and monitoring controls in their respective areas. The individuals are responsible for follow-up of unexpected or irregular performance.

Identify Policy or Procedural Issues

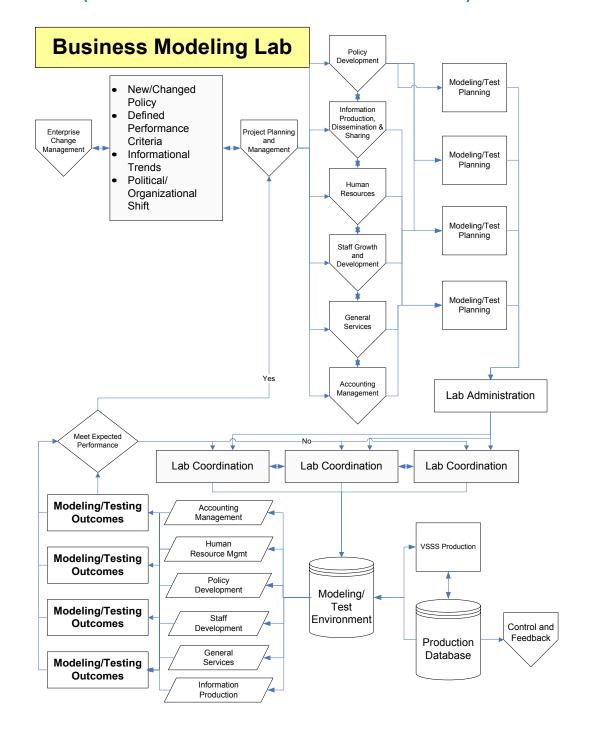
- Institutional acceptance of a monitoring and review activity that subscribes to a high level of self-assessment
- 2. Operational acceptance of a culture of continued improvement
- 3. Ownership and accountability for the performance operation of the control structure
- 4. Acceptance and use of performance management methodologies
- Delegation of authority and responsibility to individuals to complete work without supervisory review, with proper attention to adequacy and appropriateness of delegations
- 6. Delegation that forms an integral part of operational systems and controls, and is adjusted to keep pace with organizational objectives
- 7. A professional internal audit function





5.3. OPERATIONS MANAGEMENT BUSINESS ACTIVITY DESCRIPTIONS

5.3.1. Business Modeling Laboratory (Integrated Policy and Operational Modalities)







Purpose - Business Modeling Laboratory

To ensure a business practice risk free environment for consumers and employees, and to ensure that tax dollars are spent responsibly

Trigger:

- ✓ Change in or new policy
- ✓ Defined Performance Criteria
- ✓ Trends in Information
- ✓ Political or Organizational Shifts

Business Modeling Lab

Output:

- ✓ Results of business modeling
- ✓ o System
- ✓ o Policy
- ✓ o Staff Development
- ✓ o HR
- √ o Consumer Services
- o Other Operational Management
- ✓ o Change impacts of new business approach on error prevention (QA, Appeals, Fraud)
- √ o Cost-Benefit
- ✓ Defined level of real-world implications (State, Local, & Community)
- ✓ Mitigations required
- ✓ Action plans with short and long-term goals
- ✓ Staff growth and development opportunities
- ✓ Assigned responsibilities for carrying out plans
- Communicating recommendations to policy and governing bodies
- ✓ Business Case
- ✓ Technology support needs/priorities

Input:

- ✓ Community, State, and Local input
- ✓ Performance measures—Strategic plans
- ✓ BPR Business Objectives
- ✓ Performance measures for follow-up
- ✓ Performance metrics (Error Prevention [QA, Fraud, Appeals, etc.])
- Roles and responsibilities (lab and personnel involved—State, Local and
- Community partners, consumers, multi-disciplinary team make-up)
- Action plans with short and long-term goals
- Identified resources funding, personnel and facilities and equipment
- ✓ Unmet needs identified new needs or partnerships; services aren't meeting intentions
- ✓ Defined performance standards
- ✓ Benchmarks—performance outcomes
- √ 120 cultural differences impacts on desired outcome
- ✓ Political and governmental trends
- Political and government constraints, Funding—Community based, State, Federal, VSSS financial resources
- ✓ Policy and policy constraints
- ✓ Timeframes—to include planning, modeling and testing, and implementation
- ✓ Federal regulations and State law
- Validity and reliability tools
- Methodologies for education and training
- Post implementation feedback

Outcome:

Effective use of resources to produce quality products and perform effective service delivery to meet targeted community-based consumer needs





Characteristics of the New Business Model

- 1. Trigger
- g. Project Manager is assigned responsibility for any of several projects related to
 - Change in or new policy
 - Defined Performance Criteria
 - Trends in Information
 - Political or Organizational Shifts

2. Purpose

To ensure a business practice risk free environment for consumers and employees by modeling, testing and evaluating virtually every change to policy and operations, and to ensure that tax dollars are spent responsibly

3. Inputs

- a. Community, State, and Local input
- b. Performance measures—Strategic plans
- c. BPR Business Objectives
- d. Performance measures for follow-up
- e. Performance metrics (Error Prevention [QA, Fraud, Appeals, etc.])
- f. Roles and responsibilities (lab and personnel involved—State, Local and
- g. Community partners, consumers, multi-disciplinary team make-up)
- h. Action plans with short and long-term goals
- i. Identified resources funding, personnel and facilities and equipment
- j. Unmet needs identified new needs or partnerships; services aren't meeting intentions
- k. Defined performance standards
- I. Benchmarks—performance outcomes
- m. 120 cultural differences impacts on desired outcome
- n. Political and governmental trends
- o. Political and government constraints, Funding—Community based, State, Federal, VSSS financial resources
- p. Policy and policy constraints
- q. Timeframes—to include planning, modeling and testing, and implementation
- r. Federal regulations and State law
- s. Validity and reliability tools
- t. Methodologies for education and training
- u. Post implementation feedback

4. Outputs

- a. Results of business modeling
 - System
 - Policy
 - Staff Development
 - HR
 - Consumer Services
 - Other Operational Management





- Change impacts of new business approach on error prevention (QA, Appeals, Fraud)
- Cost-Benefit
- b. Defined level of real-world implications (State, Local, & Community)
- c. Mitigations required
- d. Action plans with short and long-term goals
- e. Staff growth and development opportunities
- f. Assigned responsibilities for carrying out plans
- g. Communicating recommendations to policy and governing bodies
- h. Business Case
- i. Technology support needs/priorities

5. Outcomes

Effective use of resources to produce quality products and perform effective service delivery to meet targeted community-based consumer needs

6. Hand-Offs

- a. Project manager to Lab Administrator
- b. Lab Administrator to Coordinator
- c. Coordinator to Project manager for implementation/corrections

7. Cost Drivers and Cost

- a. Staff time for VSSS and community-based participants (up-front—startup and ongoing)
- b. Facilities and equipment—if new facility and equipment needs to be acquired
- c. Specialized software support
- d. Multiple points of modeling and testing
- e. Mobility of or remote access to lab capability
- f. Publicizing/publishing results / outputs
- g. Communication medium for on-going work across teams
- h. Staff time for participating in the lab—modeling and testing
- i. Staff development capability
- j. Staff growth and development—training on new policy and new and existing staff
- k. Electronic access to electronic case records

8. Integral Activities

- a. Federal regulations
- b. State law
- c. VSSS strategic planning
- d. Local strategic plan
- e. Other Policy and Operational Components
 - Policy development
 - Human Resources
 - Information Production, Dissemination and Sharing
 - Error Prevention
 - I.T.
 - Communication
 - Project Planning and Management





- Staff Growth and Development
- Enterprise Change Management

9. Peripheral Activities

- a. State and local operational management
- b. Community partners input
- c. Partnership agreements and maintenance
- d. Leveraging of resources—funding and staff

10. Information Management Support to Achieve Result Desired

- a. Any system used in the "To-Be" model must support the testing environment
- b. Networked office automation capabilities
- c. Automated testing tool that would allow the flexibility to quickly obtain testing scenarios
- d. IT security
- e. Collaborative work environment/tools
- f. Automated support for collecting, storing and analyzing the inputs and for producing outputs
- g. Tools to Communicate results of the modeling and testing
- h. Validity tools and infrastructure to test the methodology and its reliability
- i. Medium for benchmarking
- j. Technological support for training as required by absence of competencies
- k. Tools to support certification of competencies
- I. Wireless/mobile technology support
- m. Any changes to systems to be supported by a thorough user acceptance testing environment as a component of business modeling

11. Changed System to System Communication

VSSS systems that communicate will support the Business Modeling Laboratory

12. Define Performance Standards

- a. On-going monitoring and feedback from real-world implementation to adjust quickly and efficiently
- b. The Business Modeling Laboratory must demonstrate a return on investment by:
 - Fewer policy implementations that require rework or corrections
 - Fewer Business procedure implementation defects
 - Synchronized implementation of policy, system and skills development
 - Reduced time from novice to journey-level skills in employees
 - Higher rates of employee retention and satisfaction with job assignments
 - High rate of employees seeking participation in the business modeling laboratory
 - Utilization for pre-testing/analysis of federal initiatives and legislative policy intention and policy implementation impacts on costs, populations, outcomes
 - Value in re-evaluation of changed targeted indices over a specific timeframe and adjustment of business methods to correct
 - Value in producing and re-evaluating core competencies of new and existing staff





c. Defined targets (timelines, milestones, due dates, outcomes) for Strategic, Action plan, project planning work groups





Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job

This new Lab Administration Role may be assumed by any of several job classifications. Receives modeling/testing plans from assigned Project Managers, development of action plans for the business modeling laboratory team, prioritizing and resourcing the laboratory, defines the roles and responsibilities for the modeling and testing Coordinators, delegates responsibilities for supervising modeling and testing activities to the Coordinators.

This new Lab Coordination Role may be assumed by any of several job classifications. This role is responsible for day to day coordination of perhaps several modeling and testing projects/activities, responsible for recruiting local teams, as well as evaluating the outcomes of modeling and testing activities on a day to day basis. The coordinator will be responsible for monitoring the team's outcomes against the project objectives. The monitoring activity is essentially a quality assurance role. The coordinator is responsible for monitoring timelines and reporting to the Administrator on the progress of activities. The Coordinators are accountable to assigned Project Managers as the Laboratory's customers.

Third-party post testing evaluation will be used to assure the integrity of the modeling and testing outcomes. This role may be assumed by any of several job classifications. This third-party responsibility could fall under the responsibility of the same third-party that it is assumed will be responsible for quality assurance of systems.

Additional State and/or local staff participation on inter-disciplinary teams varies depending on the number of projects. Must be able to remain focused on their task, but at the same time be able to interact with the entire team.

2. Skills and Background

Administration—Background in technical and coordination skills, ability to establish priorities, to identify gaps in resources, ability to augment resources, Ability to manage high level and many laboratory line item budgets for modeling/testing projects, knowledge of scientific testing methodologies, including documentation styles, personnel and organization communication skills, knowledge of and ability to do strategic planning. Individual has an understanding of and ability to perform risk management.

Coordination—Ability to organize modeling and testing teams, setting expectations for timelines and deliverables and monitoring progress against predefined timelines, milestones, and budgets. Must have well developed organizational, time management, communication (verbal and written) skills, management skills, system and "policy" knowledge, analytical skills, technology skills, interpersonal skills, practical knowledge of how models are conducted and run. Must have the ability to oversee and supervise multiple modeling and testing projects that are at differing stages of completion at any given point in time. Must be able to identify from verbal reports and





written documentation when projects are or are not accomplishing their goals. Must be able to identify and resolve problems in projects.

3. High Level Job Description

Administration - The individual will be responsible for a collaborative modeling and testing environment that has an inter-disciplinary responsibility to assure VSSS is able to implement policy and supportive mechanisms at the State and local level that haven been proven. This individual is responsible for assuring that sufficient inter-disciplinary resources are allocated and risk is mitigated for timely production of findings that enable individual VSSS functions to carry out their responsibilities effectively. The Lab Administration Role is accountable to the Change Control Officer.

Identify Policy or Procedural Issues

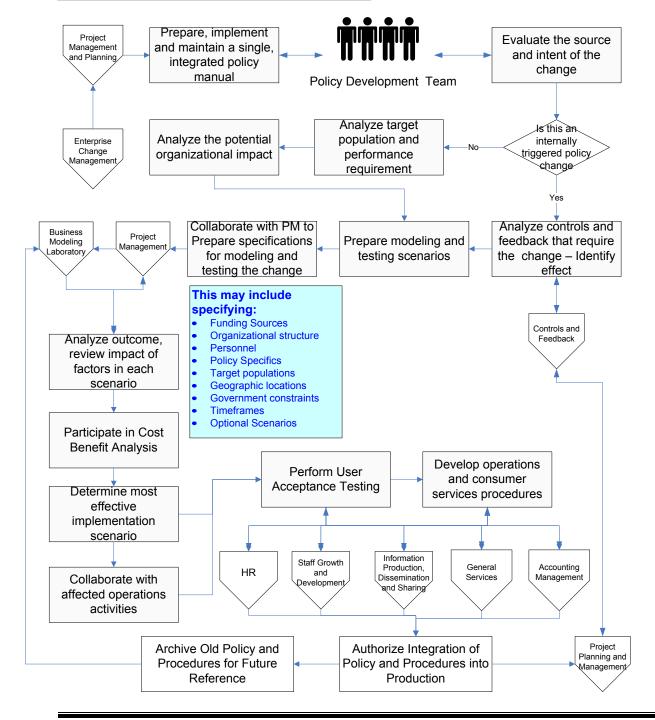
- 120 different localities that may have to be recognized in the business models tested (cultures, populations, community-based services, internal resources, strategic directions)
- 2. Identify how the HR, I.T., Communications, Error Prevention, Grant writing, Community-based partners, and Multi-disciplinary teams will fit into the business lab.
- 3. Policies related to applying Cost analysis and business case and benchmarking
- 4. Procedural issues for lab personnel
- 5. Assigning lab MD-Teams based on project needs
- 6. Who would determine staff growth and development competencies, and how they will be measured
- 7. Existing and new Performance measures how set; state and local priorities for performance
- 8. Community-based partner participation and education in business modeling methods and goals
- 9. Legal implications of internally certifying competencies of staff





5.3.1.1. Policy development

Policy Development





Purpose - Policy Development

Policy

Development

To assure that financial and services opportunities/constraints, and the administrative functions that support them, are properly modeled, tested and documented for timely implementation, so that State and local delivery systems carry out their charter according to law and regulation

Trigger:

- ✓ An assignment is made to a Project Manager:
- ✓ A change or proposed change in federal regulations and/or State legislative changes, or waiver of such regulations
- ✓ Shift in philosophy/emphasis regarding services to specific populations or to support specific local or state needs
- ✓ Changes in funding
- ✓ Error prevention findings
- ✓ Monitoring and review findings
- ✓ Consumer, community or partnership feedback
- ✓ Lawsuits

Output:

- New policy integrated within the single integrated policy manual
- Findings on actual Impact across all the disciplines
- Any new policy or changes to policy and the action plan to ameliorate impacts related to policy implementation (mitigation measures)
- ✓ Systems requirements and updates to support changes in policy
- ✓ Procedural/guidelines update to support changes in policy
- Review of skills and competencies in relation to policy
- Projected potential new positions that may be needed or changes to the current positions skills and/or abilities
- ✓ Projected staff development needs
- ✓ Curriculum on new/changed policy
- Projected cost analysis for implementation of new policy
- Analysis of risk implications in service delivery in order to reduce potential risk and increase safety of workers
- Old policy and procedure archived for future reference

Input:

- ✓ Single, integrated policy manual
- ✓ Community, State, and Local input
- ✓ Current model performance metrics
- Desired Performance measures-Strategic plans
- Action plans with short and long-term goals
- ✓ Tactical Objectives
- ✓ Controls and feedback
- ✓ Roles and responsibilities
- ✓ Identified resources funding, personnel and facilities and equipment
- ✓ Expected Impact across all the disciplines
- Unmet needs services aren't meeting intentions
- ✓ Defined performance standards
- ✓ Systems Impact
- ✓ Benchmarks-performance outcomes
- √ 120 cultural differences potential impacts on desired outcome
- Political and government constraints, Funding-Community based, State, Federal, VSSS financial resources
- ✓ Timeframes-to include planning, modeling and testing, and implementation
- ✓ Federal regulations and State law
- ✓ Post implementation feedback
- ✓ Business Continuation Plan or Disaster Recovery Plan
- ✓ Existing Systems, procedures, HR

Outcome:

 Timely and effective (risk-free and without re-work) implementation of policy to meet the VSSS mission





Characteristics of the New Business Model

1. Trigger

- h. An assignment is made to a Project Manager:
 - A change or proposed change in federal regulations and/or State legislative changes, or waiver of such regulations
 - Shift in philosophy/emphasis regarding services to specific populations or to support specific local or state needs
 - Changes in funding
 - Error prevention findings
 - Monitoring and review findings
 - Consumer, community or partnership feedback
 - Lawsuits

2. Purpose

To assure that financial and services opportunities/constraints, and the administrative functions that support them, are properly modeled, tested and documented for timely implementation, so that State and local delivery systems carry out their charter according to law and regulation

3. Inputs

- a. Single, integrated policy manual
- b. Community, State, and Local input
- c. Current model performance metrics
- d. Desired Performance measures—Strategic plans
- e. Action plans with short and long-term goals
- f. Tactical Objectives
- g. Controls and feedback
- h. Roles and responsibilities
- i. Identified resources funding, personnel and facilities and equipment
- j. Expected Impact across all the disciplines
 - Unmet needs services aren't meeting intentions
 - Defined performance standards
 - Systems Impact
- k. Benchmarks—performance outcomes
- I. 120 cultural differences potential impacts on desired outcome
- m. Political and government constraints, Funding—Community based, State, Federal, VSSS financial resources
- n. Timeframes—to include planning, modeling and testing, and implementation
- o. Federal regulations and State law
- p. Post implementation feedback
- g. Business Continuation Plan or Disaster Recovery Plan
- r. Existing Systems, procedures, HR

4. Outputs

- a. New policy integrated within the single integrated policy manual
- b. Findings on actual Impact across all the disciplines





- c. Any new policy or changes to policy and the action plan to ameliorate impacts related to policy implementation (mitigation measures)
- d. Systems requirements and updates to support changes in policy
- e. Procedural/guidelines update to support changes in policy
- f. Review of skills and competencies in relation to policy
- g. Projected potential new positions that may be needed or changes to the current positions skills and/or abilities
- h. Projected staff development needs
- i. Curriculum on new/changed policy
- j. Projected cost analysis for implementation of new policy
- k. Analysis of risk implications in service delivery in order to reduce potential risk and increase safety of workers
- I. Old policy and procedure archived for future reference

5. Outcomes

 Timely and effective (risk-free and without re-work) implementation of policy to meet the VSSS mission

6. Hand-Offs

- a. Project Manager
- b. Policy Developer(s)
- c. Inter-disciplinary Modeling and Testing
- d. Possibly back to Policy Developers for rework
- e. Information Management for formatting in correct media for various uses
- f. Users

7. Cost Drivers and Costs

- a. Development and on-going maintenance of a single, integrated on-line policy manual
- b. Staff time for VSSS and community-based participants
- c. Facilities and equipment—if new facility and equipment needs to be acquired
- d. Specialized software support
- e. Multiple points of modeling and testing
- f. Publicizing/publishing results / outputs
- g. Communication medium for on-going work across teams
- h. Staff time for participating in the lab—modeling and testing
- i. Staff development capability
- j. Staff growth and development—curriculum for new policy and new and existing staff
- k. Maintenance of web server

8. Integral Activities

- a. Federal law and regulations
- b. State law and regulations
- c. VSSS strategic planning
- d. Other Policy and Operational Components
 - Human Resources
 - · Information Production, Dissemination and Sharing





- Error Prevention
- I.T.
- Communication
- Policy development
- Project Planning and Management
- Staff Growth and Development
- e. Enterprise Change Management
- f. Controls and feedback

9. Peripheral Activities

- a. State and local operational management
- b. Community partners input
- c. Partnership agreements and maintenance
- d. Leveraging of resources—funding and staff
- e. External and Internal benchmarking of agencies resulting in continuous evaluation and improvement

10. Information Management Support to Achieve Result Desired

- a. Any system used in the "To-Be" model must support the testing environment
- b. Automated testing tool that would allow the flexibility to quickly obtain testing scenarios
- c. Automated support for collecting, storing and analyzing the inputs and for producing outputs which would support immediate re-work of policy prior to release
- d. Tools to communicate changes in policy or updates
- e. Medium for benchmarking for continuous evaluation and improvement
- f. I.T. system test will be thorough and demonstrate that systems meet user requirements before release for user acceptance testing
- g. Any changes to systems resulting from changes to policy are to be supported by a thorough user acceptance testing environment as a component of business modeling

11. Changed System to System Communication

a. Systems (single data collection tool, assessment tool and/or systems providing the electronic case record for all disciplines) will operate as rule based systems, this could be defined differently for different disciplines. Each of these systems action and/or interaction will reflect and support policy changes. Modifications or enhancements will add the new rules.

12. Define Performance Standards

- a. On-going monitoring and feedback from real-world implementation to adjust quickly and efficiently
- b. Policy implementations that do not require rework or corrections
- c. Synchronized implementation of policy, system and skills development
- d. Utilization for pre-testing/analysis of proposed federal or state initiatives and legislative policy intention and potential policy implementation impacts on costs, populations, outcomes
- e. Demonstrated value in analysis of changed targeted indices over a specific timeframe and adjustment of policy to correct





- f. Defined targets (timelines, milestones, due dates, outcomes) for Strategic, Action plan, project planning work groups and policy implementation
- g. Performance measures demonstrate Statewide compliance with federal and state requirements

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job

This is not a new job but a new role in working as an active member of an integrated team. This begins with assignment by the CCO to a project and planning management team (this includes the following members; project manager, policy developer, Error Prevention, IT, financial, HR, staff development)

2. Skills and Background

Interpretation of federal and state law and regulation, excellent writing skills, ability to communicate internally and externally with multiple groups and individuals, able to work effectively in a team environment, responsibly discuss policy issues across disciplines, must be able to perform analysis of data and information and communicate law and regulations in clear and easy to understand documentation, identify impacts across the enterprise and systems, specify data and system support needs, ability to work independently and in groups

3. High Level Job Description

- Effective member of the team
- Communication throughout the enterprise
- Analyze and interpret proposed changes or trends and translate the resulting changes to policy
- Research skills to review aspects of proposed changes
- Mobility

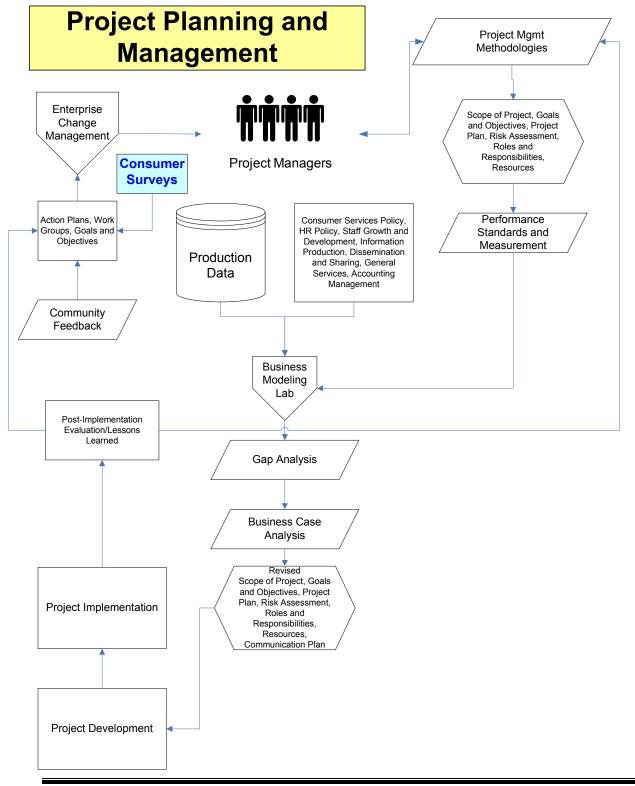
Identify Policy or Procedural Issues

- 1. Knowledge, skills and abilities must broadly expand to accommodate the development of the new integrated policy
- 2. Establishment of the Business Modeling Laboratory
- 3. Establishment of inter-disciplinary teams
- 4. The change management logistics to transition from the "As Is" to the "To Be" particularly in the area of policy development is going to be challenging.
- 5. Potential administration changes may impact this activity
- 6. Potential waivers to allow for the integration of the policy
- 7. Removal of stovepipes
- 8. Coordination of the project manager and ability to "fast track" policy implementation





5.3.1.2. Project planning and management





Purpose - Project Planning and Management

Project

Planning and

Management

To manage risk and to ensure that resources and work assignments produce the planned outcome within budget and within the assigned timeline.

Trigger:

Any action plan or work group charter (planning and/or implementation) that has a defined scope, and an expected end point to achieve a business outcome or results within a specific period of time and budget

Output:

- Performance Standards and Measurement
- Gap Analysis
- Roles and Responsibilities
- Identified competencies
- Project Plan
- Timeline Planning, Initiation, Execution, Close-out
 - Dependencies
- Milestones
- **Due Dates**
- Resource allocation
- **Budget**
- Quality Management Plan
- Risk Management Plan
- Communication Plan
- **Project Configuration** Management Plan
- Scope Management
- Post-Evaluation
- Lessons Learned

Input:

- **Enterprise Mission Statement**
- Strategic Plan
- Initiatives
- Work Groups including groups with charters
- Action Plan
- Policy
- Organizational Structure
- Project Management procedures
- Business Case Analysis
- Community feedback (demographics, population served, etc.)
- Defined goals and objectives
- Resources (Budget, staff, time)
- Risk Assessment
- Test Lab results
- Roles and Responsibilities
- Multi-disciplinary Teams
- Lessons learned from prior projects
- Scope of project

Outcome:

Production of an on-time, high quality result that meets the objectives of the planned product or result





Characteristics of the New Business Model

Trigger

Any action plan or work group charter (planning and/or implementation) that has a defined scope, and an expected end point to achieve a business outcome or results within a specific period of time and budget

2. Purpose

To manage risk and to ensure that resources and work assignments produce the planned outcome within budget and within the assigned timeline

3. Inputs

- a. Enterprise Mission Statement
- b. Strategic Plan
- c. Initiatives
- d. Work Groups including groups with charters
- e. Action Plan
- f. Policy
- g. Organizational Structure
- h. Project Management procedures
- i. Business Case Analysis
- j. Community feedback (demographics, population served, etc.)
- k. Defined goals and objectives
- I. Resources (Budget, staff, time)
- m. Risk Assessment
- n. Test Lab results
- o. Roles and Responsibilities
- p. Multi-disciplinary Teams
- g. Lessons learned from prior projects
- r. Scope of project

4. Outputs

- a. Performance Standards and Measurement
- b. Gap Analysis
- c. Roles and Responsibilities
- d. Identified competencies
- e. Project Plan
 - Timeline Planning, Initiation, Execution, Close-out
 - Dependencies
 - Milestones
 - Due Dates
 - Resource allocation
 - Budget
 - Quality Management Plan
 - Risk Management Plan
 - Communication Plan
 - Project Configuration Management Plan
 - Scope Management





- Post-Evaluation
- Lessons Learned

5. Outcomes

Production of an on-time, high quality result that meets the objectives of the planned product or result

6. Hand-Offs

- a. Business Modeling Laboratory
- b. Chartered Work Group

7. Cost Drivers and Costs

- a. Resources (time, staff, meeting facilities, etc)
- b. Organizational discipline to adhere to project management principles for all VSSS efforts
- c. Training in project management methodologies for a broader resource pool
- d. Project management software
- e. Recruitment
- f. Retention
- g. Communication
- h. Unmanaged risk

8. Integral Activities

- a. Strategic direction
- b. Change Management
- c. Business Modeling Laboratory
 - Information Production, Dissemination and Sharing
 - Staff Growth and Development
 - Human Resources

9. Peripheral Activities

DMAS

DCSE

Community-based collaborations

Internal VSSS collaborations

10. Information Management Support to Achieve Result Desired

- a. Automated Project management tool, calendaring, automated notifications, central repository for demographic information and note-taking, HR tracking, Budget management, Financial accounting capability, accessible by all involved parties, structured risk management tool
- b. Mobile support

11. Changed System to System Communication N/A

12. Define Performance Standards





- a. Create and distribute products that meet strategic or tactical objectives with minimal disruption to the agency and its consumers
- b. Effective planning and implementation
 - Timeliness within established milestones and due dates
 - Cost is within established budgets
 - Adjustments are made without impacting quality of pre-defined end product
- c. Quality of development and implementation are demonstrated by lack of rework
- d. The end product meets the stated expectations of the project's purpose
- e. Consumer or employee feedback demonstrates that the end product performs optimally based on specific performance standards and measurements

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job

The Project Management job is a role rather than a specific job classification. It may be performed by individuals in any discipline with the training in project management methodologies and that demonstrates the ability and willingness to apply the methodologies routinely.

2. Skills and Background

Must possess good interpersonal and communication skills with internal and external stakeholders, must be proficient with technical tools, and analytical with an ability to make complex decisions based on factual data.

Must be trained in project management methodology and be able to achieve certification. The individual must be able to assess a project's progress against project parameters and to identify when remedial action is required.

Must be knowledgeable about the organization's strategic direction and understand the role any given project plays in the intended organizational outcome. Must have financial and resource management skills. The individual must be detail focused and able to manage multiple parallel tasks with differing missions.

The individual must have strong leadership skills and have the capability to facilitate face to face group interactions, and be able to guide and support group-based decision-making. The individual must have skill in conflict management.

3. High Level Job Description

This job is independent of either Policy or IT. This individual is responsible for managing resources, budget, staff (teams) and other entities required to plan, manage and implement any of several types of projects within the organization, including policy initiatives, new operational procedures, human resources modifications, large and small systems development. The individual may be responsible for managing and coordinating multiple projects at a time across a variety of functions and outcomes. Will develop and implement project plans that are in line and consistent with business case and strategic plan initiatives.

Identify Policy or Procedural Issues





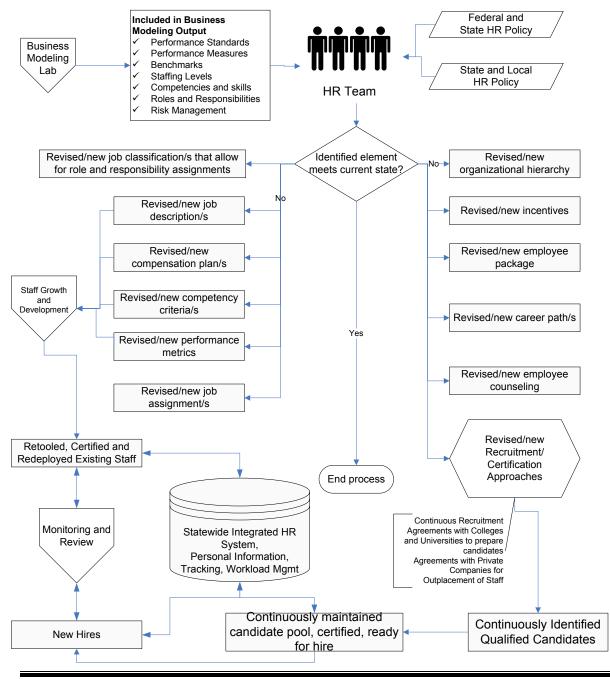
- 1. Certification costs
- 2. Compensation issues for specialized skill level
- 3. Changing defined roles and responsibilities and changing individuals
- 4. Management structures to manage competing priorities (Political, Administrative)
- 5. Accountability no defined/clear tracking of performance standards and performance metrics
- 6. Time and funding priorities
- 7. Externally imposed timeframes
- 8. Organizational commitment to disciplined project management approach





5.3.1.3. Human resource management

Human Resource Management





Purpose - Human Resource Management

To assure that competent, proficient and professional employees are recruited and retained at all levels of the organization to meet the operational needs at a given point in time, and that the state and local agencies are competitive in their communities in attracting and keeping qualified staff.

Trigger:

✓ Identification, via the business modeling and testing laboratory's, outcomes of any changed operational needs that require any differing competencies, skills, abilities, education, staffing structures, compensation for existing staff or new hires in State and/or local operations.

Input:

- Skills/competencies/abilities throughout the enterprise in the "To-Be" model for new and existing staff
- Classifications throughout the enterprise for the "To-Be" model for new and existing staff
- ✓ Performance standards
- ✓ Performance measures
- Timelines for Benchmarks against the HR marketplace
- ✓ HR Federal and State Regulations
- ✓ State and local HR policy
- Agreements with colleges and universities to establish a pool of recruitable skilled staff
- Agreements with private companies that are downsizing to recruit certain skilled workers— IT staff
- ✓ Staffing levels by function and agency
- ✓ Employee personal information
- ✓ Risk Management contracts/agreements
- Retirement Dates tickled
- ✓ Identified qualified candidates for employment

Human Resource Management

Output:

- √ Job Classification
- √ Job Descriptions
- ✓ Compensation plan
- ✓ Recruitment pool
- ✓ Competency criteria✓ Performance metrics
- ✓ New hires
- ✓ Existing employees
- √ Job Assignments
- ✓ Organizational reporting hierarchy
- ✓ Incentives for unique abilities/skills
- ✓ Employee package
- ✓ Career Paths
- ✓ Employee counseling
- √ Advertising for classifications
- ✓ Continuous recruitment
- ✓ Establishment of a payroll account for new hire

Outcome:

 Professional staffing levels to meet the operational demands of the State and local agencies are maintained over time





Characteristics of the New Business Model

Trigger

Identification, via the business modeling and testing laboratory's, outcomes of any changed operational needs that require any differing competencies, skills, abilities, education, staffing structures, compensation for existing staff or new hires in State and/or local operations

2. Purpose

To assure that competent, proficient and professional employees are recruited and retained at all levels of the organization to meet the operational needs at a given point in time, and that the state and local agencies are competitive in their communities in attracting and keeping qualified staff

3. Inputs

- a. Skills/competencies/abilities throughout the enterprise in the "To-Be" model for new and existing staff
- b. Classifications throughout the enterprise for the "To-Be" model for new and existing staff
- c. Performance standards
- d. Performance measures
- e. Timelines for Benchmarks against the HR marketplace
- f. HR Federal and State Regulations
- g. State and local HR policy
- h. Agreements with colleges and universities to establish a pool of recruitable skilled staff
- Agreements with private companies that are downsizing to recruit certain skilled workers—IT staff
- j. Staffing levels by function and agency
- k. Employee personal information
- I. Risk Management contracts/agreements
- m. Retirement Dates tickled
- n. Identified qualified candidates for employment

4. Outputs

- a. Job Classification
- b. Job Descriptions
- c. Compensation plan
- d. Recruitment pool
- e. Competency criteria
- f. Performance metrics
- g. New hires
- h. Existing employees
- i. Job Assignments
- j. Organizational reporting hierarchy
- k. Incentives for unique abilities/skills
- I. Employee package
- m. Career Paths





- n. Employee counseling
- o. Advertising for classifications
- p. Continuous recruitment
- g. Establishment of a payroll account for new hire

5. Outcomes

a. Professional staffing levels to meet the operational demands of the State and local agencies are maintained over time

6. Hand-Offs

There should be no handoffs in the To Be model. It is assumed that a continuous pool of potential new hires will be available from which to recruit at any given time without certifying lists of candidates. It is assumed that if an individual is in the recruitment pool they meet the standards for certification. It is assumed that localities do not have to submit a request to fill to State HR, that if the locality has local authority for salary and position the local office can proceed with the hiring step.

7. Cost Drivers and Costs

- a. Compensation studies
- b. Potentially higher compensation—existing and new hires
- c. Benefits against compensation levels
- d. Certification efforts to establish competencies for the recruitment pool
- e. Use of the business lab for testing certification as an option
- f. Continuous recruitment of staff
- g. Classification studies that are dynamic
- h. Global advertising
- i. I.T. Support
- j. Maintenance of agreements with colleges and universities
- k. Maintenance of agreements with other employers

8. Integral Activities

- a. Strategic Planning
- b. Operation Goals and Objectives
- c. Business Model Lab
- d. HR legislation
- e. State and Local Operational Management
- f. State and Local Budgets

i.

- g. Peripheral Activities
- h. Local deviating agencies HR policies
- i. Local Colleges and Universities
- j. Other Local employers
- k. Community-based partnerships

9. Information Management Support to Achieve Result Desired

a. Web-based capability to complete and file applications for employment on-line, with ability to submit a resume in a prescribed format, and assignment of an





- account with Pin for the job candidate to do their own follow-up or update the resume as needed.
- Broad-based accessibility to a web-based approach to communicating the recruitment pool and their skills, background, career objectives, availability, contact information
- c. Universal HR automated employee system that supports the enterprise to track staff by locality and position, job assignments, supervisors, units, divisions, competencies and skills, including special skills that are includable in a bank of resources available to the enterprise, leave, pay, retirement tracking, leave tracking
- d. Accessible by employees, supervisors, managers with the ability to integrate HR information back to the Consumer Services function for assignment of cases and management of work load, calendaring of appointments, etc.
- e. The universal HR system must include a performance management capability, with on-line evaluations, an on-line scorecard that exhibits performance standards for the job assignment vs. performance metrics.
- f. Secure employee accounts for access by the employee, supervisor and assigned manager. Employees are able to view an audit trail of those individuals that have viewed a personnel evaluation.
- g. HR system must be able to communicate with the Statewide Financial Management System to establish payroll accounts for new hires without re-entry of data.
- h. Maintenance of employee information related to revenue streams is only maintained in the HR system via job assignment and revenue stream codes and is communicated to the statewide financial management system.
- i. It should be considered whether expense reimbursement capability could be developed within the HR system and communicated to the financial management system for the accounting purpose.
- j. State employee information must be able to be communicated from the HR system directly to the State's HR system without re-entry of data.
- k. IT Security to protect identity from theft

10. Changed System to System Communication

j. System to track leave, pay, etc. from State to localities must have the capability to interface or communicate with existing local payroll systems.

11. Define Performance Standards

- a. Continuous evaluation of required staff core competencies based on business objectives
- b. There is an on-going pool of qualified staff that can be hired timely by State and/or localities
- c. The HR information system requires staffing information to be entered only one time and be available for any purpose that requires an employee's name and job assignment.
- d. VSSS is able to maintain market-competitive compensation levels over time.
- e. Unique skills and competencies in specific job fields can be recruited from other employers that downsize or outsource





Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job

The BPR Team sees no specific requirement for a change in HR job assignments or HR job classes; rather it sees a significant shift in how HR is performed. It is assumed that HR will be a proactive, integral part of how change is accomplished across the VSSS enterprise. The HR responsibility will be to establish proper statewide job classifications and compensation levels as required to support the To Be business model at both the State and local level.

2. Skills and Background

Must have a broad understanding of management and organizational development and have the ability to apply qualitative skills to changing organizational goals and objectives, competencies in economic analysis, a broad knowledge of changing human resource methodologies, knowledgeable in the Federal and State HR laws and regulations, specifically regarding due process, people with disabilities and diverse work groups. Strong technology skills are required to support development of a new HR system that integrates to both consumer services and financial and accounting systems.

Ability to shape job specifications and job groupings that accomplish work at both the State and local levels through a team-based, non-hierarchical work environment through multi-disciplinary collaborative skills, utilizing a high level of technology support tools. Ability to identify competencies and skills in potential candidates that will promote this work environment. Knowledge of 21st century recruitment and selection methodologies to provide the public employment environment a competitive edge on hiring and retention of a skilled, professional workforce.

3. High Level Job Description

The individuals in the HR job function will be responsible for working collaboratively within the Operational Management Core Function to support achievement of the Strategic Plan goals and objectives. HR will function as part of a multi-disciplinary team, which will include team members from a variety of other operational disciplines within the Business Modeling Laboratory. The HR component of the multi-disciplinary team will be responsible for the new job descriptions and job groupings to support a non-hierarchical State and local operations model. The individual(s) will be responsible for continuous evaluation of needed skills and competencies as the needs of VSSS are redefined over time.

A key responsibility will be to attract qualified employees with the competencies required in the To Be business model, and make information on a continuously recruited candidate pool available for State and local hiring authorities to match them to the jobs for which they are best suited. The HR office will be responsible that candidates entered into the pool are pre-certified as to skills and competencies. Individual(s) will be responsible for identifying and recommending measures to remove retention issues





Individual(s) will be responsible for risk management, safety and regulatory compliance programs, labor relations management, employee benefits, employee due process, consultation to State and local managers on HR questions, technical support to boost employee satisfaction and working conditions. Interacting effectively with people at both the State and local levels is an essential part of the job.

Identify Policy or Procedural Issues

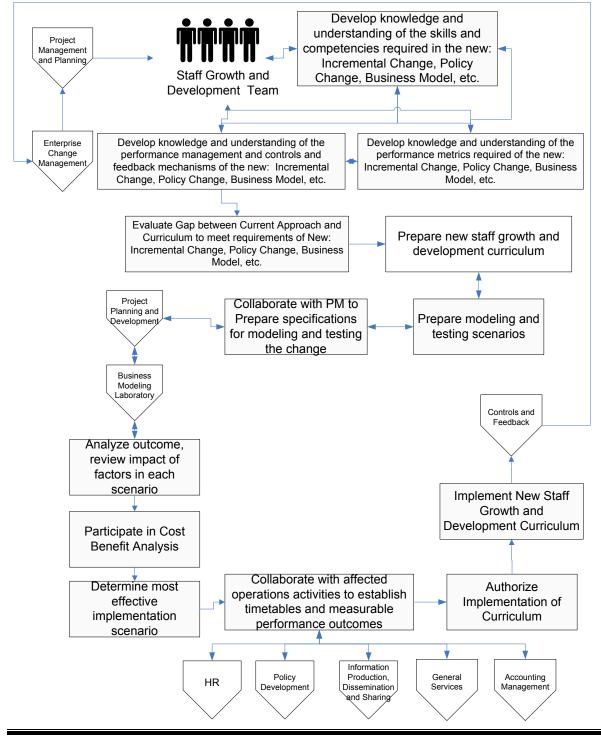
- 1. Organizational placement of HR
- 2. Role of HR
- 3. Compensation and benefit packages
- 4. Non-traditional job descriptions, job groupings and competencies to fit the To Be model Roles vs. job classes; telecommuting assignments; business modeling laboratory, etc
- 5. Deviating agencies
- 6. Random Moment Sampling from HR System and use of HR system integrated to major programmatic systems to capture task specific measures to track back to revenue
- 7. Continuous recruitment
- 8. Elimination of a certified list of candidates
- 9. Pre-testing of candidates for competencies prior to certification to the pool





5.3.1.4. Staff growth and development

Staff Growth and Development





Purpose - Staff Growth and Development

To assure that VSSS continues to meet the organization's operational objective of high-quality community-based consumer services through a stable, effective and respected workforce

Trigger:

✓ There is an organizational (either statewide or local) strategic direction that creates an operational demand for professional application of competencies/skills/abilities that meet the organization's short and long term needs

Input:

- Knowledge, skills and abilities assessment
- ✓ Competency Evaluation
- Business Lab results
- Gap Analysis
- ✓ Needs assessment internal (employees), external (benchmarks)
- ✓ Performance Standards
- Resources available

Staff Growth & Development

Output:

- ✓ Revised Performance Standards
- ✓ Revised Job specs and compensation standards
- ✓ Education
- ✓ Skills development / retooling
- Optimum roles and execution of delivery of consumer services
- Core curriculum, inclusive of personalized growth needs/goals
- Revised job ladder/career paths
- ✓ Employee Job Satisfaction

Outcome:

 Community and consumer response that validates VSSS has responsibly invested in its workforce to deliver highquality community-based consumer services





Characteristics of the New Business Model

Trigger

There is an organizational (either statewide or local) strategic direction that creates an operational demand for professional application of competencies/skills/abilities that meet the organization's short and long term needs

2. Purpose

To assure that VSSS continues to meet the organization's operational objective of high-quality community-based consumer services through a stable, effective and respected workforce

3. Inputs

- a. Knowledge, skills and abilities assessment
- b. Competency Evaluation
- c. Business Lab results
- d. Gap Analysis
- e. Needs assessment internal (employees), external (benchmarks)
- f. Performance Standards
- g. Resources available

4. Outputs

- a. Revised Performance Standards
- b. Revised Job specs and compensation standards
- c. Education
- d. Skills training / re-training
- e. Optimum roles and execution of delivery of consumer services
- f. Core training curriculum, inclusive of personalized training needs/goals
- g. Revised job ladder/career paths
- h. Employee Job Satisfaction

5. Outcomes

Community and consumer response that validates VSSS has responsibly invested in its workforce to deliver high-quality community-based consumer services

6. Hand-Offs

N/A

7. Cost Drivers and Costs

- a. Training materials qualified trainers, lab sites/results, evaluation materials
- b. Travel
- c. Staff incentives/staff time

8. Integral Activities

- a. Human Resources
 - Certification for employees
 - Required number of hours for training
 - On-going evaluation of competencies





- Performance evaluation
- Re-certification/certification of employees within certain time standard
- b. Policy and Procedure development
- c. Consumer Services
- d. Operations Management
- 9. Peripheral Activities
 - a. Enterprise Change Management
 - b. Budget Planning and Resource Allocation
 - c. Control and Feedback
 - d. Monitoring and Review
- 10. Information Management Support to Achieve Result Desired
 - k. Maintenance tool for tracking employee training, skills and competencies; feedback mechanism; certification of employees within certain time standard
- 11. Changed System to System Communication N/A
- 12. Define Performance Standards
 - a. Monitoring and review consistently reports that performance standards are met in all core functions
 - b. Employee satisfaction is at 95% or above
 - c. Statewide employee turnover is under 10%
 - d. Consumer satisfaction is at 95% or above
 - e. Time away from job functions for Staff Development and Growth is reduced

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job

The BPR Team did not believe this is a new job classification, but that new job skills are required to achieve the performance standards expected. The individuals will be expected to participate in the Business Modeling Laboratory, and in dynamically managing the Staff Growth and Development activity based on the Organization's Strategic Direction and results of the business modeling laboratory.

2. Skills and Background

Position will require skills in understanding the relationship of Staff Growth and Development to Strategic VSSS directions and the inter-relationship of Staff Growth and Development with Enterprise Change Management. This new skill level requires the ability to consistently evaluate performance metrics in relationship to staff development curriculums, to identify gaps in skills, to identify certification groupings, in order to re-write curriculum that will support staff in attaining the performance level expected. The individuals must be able to correlate consumer and employee survey responses to staff growth and development business objectives, and to make adjustments in a way that has outcomes that meet both organizational strategic demands and employee day to day needs. The individuals must have skills in skill





building and in testing and certifying skills of individuals. The individuals must be computer literate, and able to use computers to maintain records concerning employee knowledge, skills and abilities. Will have the ability to administer business laboratory test and evaluate results of the administered tests.

3. High Level Job Description

The individuals are responsible for identifying the correct staff development media for the specific work behaviors, knowledge, applications and tools needed to ensure that employees are skilled and competent, and that methods are chosen that are capable of producing self-directed and self-motivated staff. The individuals are responsible for assuring that new employees are provided the background and knowledge in policy, practice and application across the assigned activities that will enable the employee to become efficient, knowledgeable and skilled in focusing work efforts on the organization's mission, irrespective of assignment.

Identify Policy or Procedural Issues

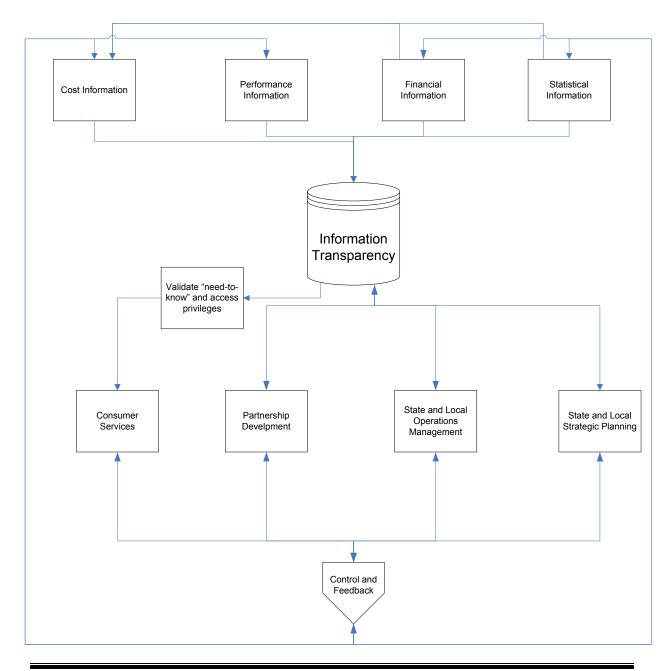
- 1. Staff time to perform Staff Growth and Development activities,
- 2. Resources for a higher level of Staff Growth and Development outcomes
- New and higher performing instructional and work behavior modeling modes and media
- 4. Establishment of competency standards such as demonstrated ability to apply critical thinking skills that go beyond that for program requirements in the area of policy
- 5. Motivation of the current training function to shift to that of a staff growth and development function
- 6. Scheduling of staff growth and development initiatives that meet the strategic needs of the organization
- 7. On-line testing and certification capability





5.3.1.5. Information production, dissemination & sharing

Information Production, Dissemination and Sharing







Purpose - Information Production, Dissemination & Sharing

To assure that State and local cost, performance (including consumer services results and evaluation), statistical and financial information is routinely available to all levels of the State and local organization on a real-time basis to support decision-making and demonstrate accountability, and to assure a on-going communication framework to disseminate information within and outside of the organization

Information

Production,

Dissemination

& Sharing

Trigger:

VSSS information is derived via any of many sources that is needed to provide the resources for State and local decision-making, to demonstrate State and local accountability, and to communicate information internally and externally

Output:

- Electronic consumer, financial, statistical, and cost raw data and consolidated information (Information Pool)
- ✓ Source transparency of information/data as needed from system to system
- Shared information throughout the enterprise and with partners
- Rolled up information annual or quarterly reports
- ✓ Local service delivery information
- ✓ Statewide service delivery information
- √ Mandated Federal Information
- Point in time performance, cost and statistical information to the individual level
- ✓ Legislative packages
- √ Consumer packets
- ✓ Performance outcomes
- ✓ Information broadcast to multiple locations
- ✓ Brochures
- ✓ Video information
- ✓ Public Service Announcements
- ✓ Public message giveaways/trinkets
- ✓ Web or teleconferencing
- ✓ E-learning materials
- √ Newsletters
- ✓ Media releases
- ✓ Speaker's Bureau presentations
- Staff Growth & Development

Input:

- Information from Error Prevention (QA, Fraud, Appeals)
- ✓ Information from service delivery partners
- ✓ Business model laboratory findings
- ✓ Integrated policy and operational procedure
- ✓ Community demographics
- ✓ Community-based service delivery metrics
- ✓ Benchmarking information
- ✓ Timelines for currency of information how frequently updated (cyclically, periodically, or real-time)
- Business case (financial and performance) information
- Data from current major programmatic and financial systems
- ✓ VSSS Service delivery performance information
- ✓ Performance measures
- ✓ Staff demographics, skills and proficiencies
- ✓ Consumer demographics and service needs
- ✓ Budget information and spending trends
- ✓ Census data demographic and indices data ✓ Partner information re: services, population
- served, skill levels

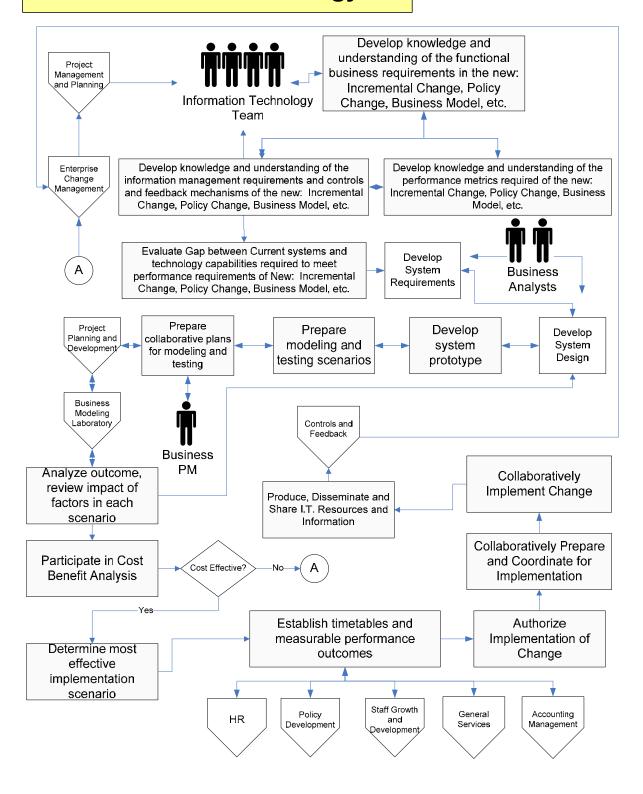
Outcome:

Decisions on day to day State, local and community-based organizational management, performance management, strategic direction, short and long-term strategic planning, operational re-direction, action planning, legislative input, change management, human resources, staff growth and development, community based-services and partnership development, procurements and budget planning are made on the basis of full, factual and current information that is disseminated on a real-time basis to State and local entities



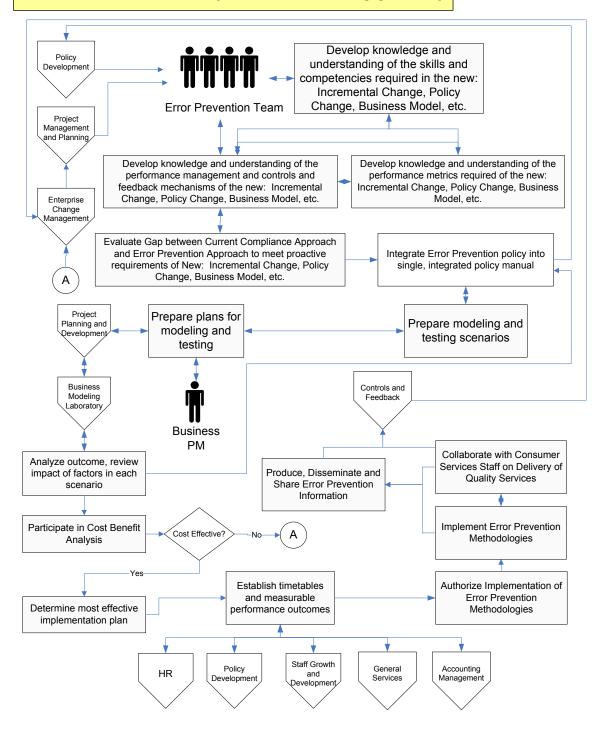


Information Technology



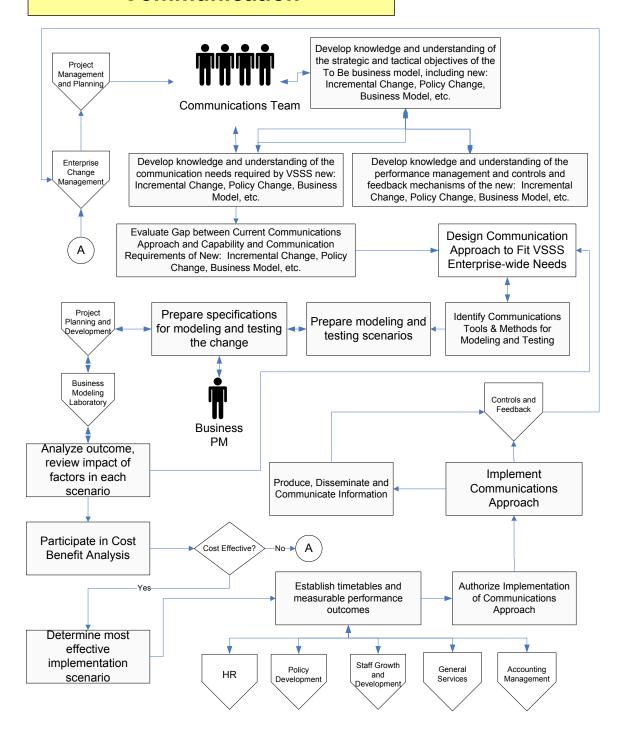


Error Prevention (QA, Fraud, Appeals)



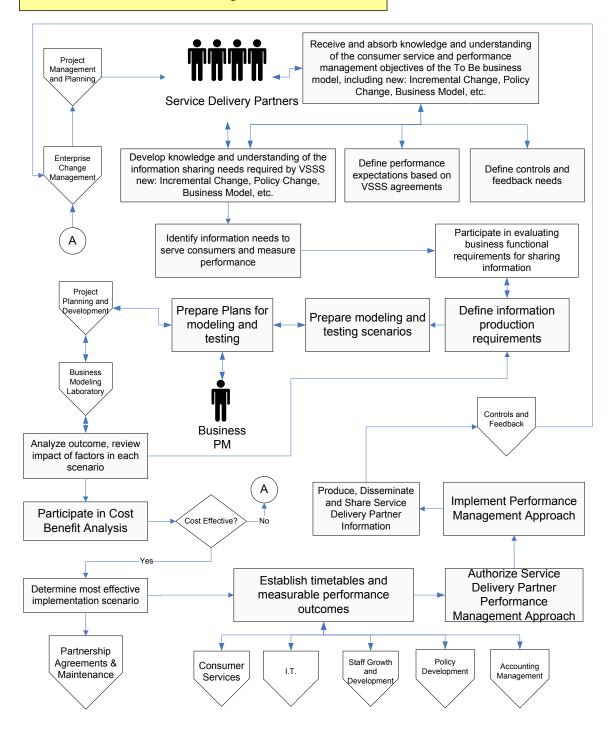


Communication





Service Delivery Partners





Characteristics of the New Business Model

1. Trigger

VSSS information is derived via any of many sources that is needed to provide the resources for State and local decision-making, to demonstrate State and local accountability, and to communicate information internally and externally.

2. Purpose

To assure that State and local cost, performance (including consumer services results and evaluation), statistical and financial information is routinely available to all levels of the State and local organization on a real-time basis to support decision-making and demonstrate accountability, and to assure a on-going communication framework to disseminate information within and outside of the organization

3. Inputs

- a. Information from Error Prevention (QA, Fraud, Appeals)
- b. Information from service delivery partners
- c. Business model laboratory findings
- d. Integrated policy and operational procedure
- e. Community demographics
- f. Community-based service delivery metrics
- g. Benchmarking information
- h. Timelines for currency of information how frequently updated (cyclically, periodically, or real-time)
- i. Business case (financial and performance) information
- j. Data from current major programmatic and financial systems
- k. VSSS Service delivery performance information
- I. Performance measures
- m. Staff demographics, skills and proficiencies
- n. Consumer demographics and service needs
- o. Budget information and spending trends
- p. Census data demographic and indices data
- q. Partner information re: services, population served, skill levels

4. Outputs

- a. Electronic consumer, financial, statistical, and cost raw data and consolidated information (Information Pool)
- b. Source transparency of information/data as needed from system to system
- c. Shared information throughout the enterprise and with partners
- d. Rolled up information annual or quarterly reports
- e. Local service delivery information
- f. Statewide service delivery information
- g. Mandated Federal Information
- h. Point in time performance, cost and statistical information to the individual level
- i. Legislative packages
- j. Consumer packets
- k. Performance outcomes
- I. Broadcast information





- m. Brochures
- n. Video-taped information
- o. Public Service Announcements
- p. Public message giveaways
- q. Web or teleconferencing
- r. E-learning materials
- s. Newsletters
- t. Media releases
- u. Speaker's Bureau presentations
- v. Policy training

5. Outcomes

Decisions on day to day State, local and community-based organizational management, performance management, strategic direction, short and long-term strategic planning, operational re-direction, action planning, legislative input, change management, human resources, staff growth and development, community based-services and partnership development, procurements and budget planning are made on the basis of full, factual and current information that is disseminated on a real-time basis to State and local entities

6. Hand-Offs

N/A

7. Cost Drivers and Costs

- a. Systems data collection capability
- b. Systems development and change
- c. Staff time to pull information, interpret and analyze
- d. Staff time to develop reports and communications of information
- e. Staff time for strategic and corrective planning
- f. IT and Staff skills and training
- g. Specialized publishing software
- h. Reproduction cost of physical information
- i. Media costs (airtime, studio, video tapes, CDs, etc.)
- j. Communication equipment (PC Cams, microphones, webcast servers, collaboration servers)

8. Integral Activities

- a. IT Information Management
- b. Budget management
- c. Accounting Management
- d. Business modeling laboratory
- e. Error prevention
- f. Partnership development
- g. Consumer services
- h. Project Management
- i. HR

9. Peripheral Activities





- a. Staff growth and development
- b. Budget Planning

10. Information Management Support to Achieve Result Desired

- Existing systems must be enhanced to produce the information they are capable
 of producing (existing systems are information rich but produce information
 poorly.)
- b. Information dissemination capacity that allows access across the entire enterprise to the line level
- c. Need to be able to correlate information across services and benefits to view information on a household or individual
- d. Need an electronic record that eliminates the concept of a hard copy "case" and duplicative case counts that tracks services and benefits to funding streams and workload that presents a true consumer picture and actual costs to federal programs that eliminates RMS
- e. Web-based interface to provide transparency of information/data as needed from system to system for sharing of information throughout the enterprise and with partners
- f. Information Security
- g. Reporting capabilities

11. Changed System to System Communication

a. Information production capacity must be able to bridge systems to provide a single source of consolidated information about consumers "household(s) and individuals" in order to count people one time

12. Define Performance Standards

- a. Real time access to current information available 24/7
- b. Any planned downtime should occur when there is the least activity on the system and will be coordinated to minimize the impact on consumers
- c. Critical systems are available 99.9% of the time (using a 24/7 delivery model)
- d. Defined time lines for carrying out tasks and activities
- e. Security routines (audit procedures, access protocols, user profiles and privileges) are designed to eliminate the potential for security breaches
- f. IT adheres to the standards of the SLAs provide services to meet organizational needs. VSSS IT has an SLA in place with end users.
- g. Systems must be user friendly and provide information in the format needed by the user
- h. Web-based information dissemination is the method of choice and the method of choice will adapt as new technologies evolve
- i. Consumer has real time access to own information
- j. Minimum quarterly review of information related to operations management, partnership relationships/development, strategic planning, budgeting/accounting, consumer service delivery, business model lab information
- k. Published consumer education materials (video, print, other) are periodically evaluated for updates, modifications, modernization, and target audiences





Ι.

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job

The BPR Team does not believe that there is a new job class; rather changes in existing jobs at all levels across the enterprise that value and apply information for serving consumers, developing community-based partnerships, establishing performance standards, doing performance management, root cause analysis, cost-benefit analysis, development of business cases, analyzing results from the business modeling laboratory, planning and managing projects, carrying out human resource responsibilities, providing general services goods and services, and supporting staff growth and development.

Information is critical to the jobs of strategic planning, and setting operational goals and objectives, and developing tactical plans and assigning work groups to accomplish business objectives. Forward-looking budget planning is dependent upon this full range of information for assuring adequate funding at all levels to assure VSSS meets its organizational mission.

The Information Technology and Communication functions within this activity must have the capability and competencies to produce, disseminate and share current information across the enterprise, and to and with consumers and community partners, and with the executive and legislative branches of Virginia government.

2. Skills and Background

A high level of competency will be required to identify data and forms of data production required to support the activities of the new business model. Unorganized information must be able to be organized in ways that tell a story to the end user of the information. Skills must be developed for analyzing both raw and consolidated information.

3. High Level Job Description

This is not a single job, but a job responsibility across all employees of the VSSS enterprise, and is based on the information's relationship to the individual's job assignment. Information (including data) is educational when used as a tool to measure and evaluate individual contribution to the overall enterprise-wide performance standards. The organization's ability to access and utilize its information defines its accountability. Production, dissemination and sharing of information will be redesigned to support the To Be business model.

Identify Policy or Procedural Issues

- 1. Standards for information production, dissemination and sharing
- 2. Defined public vs. confidential information
- 3. Transparency as a standard
- 4. Guidelines on information sharing
- 5. Guidelines on Confidentiality

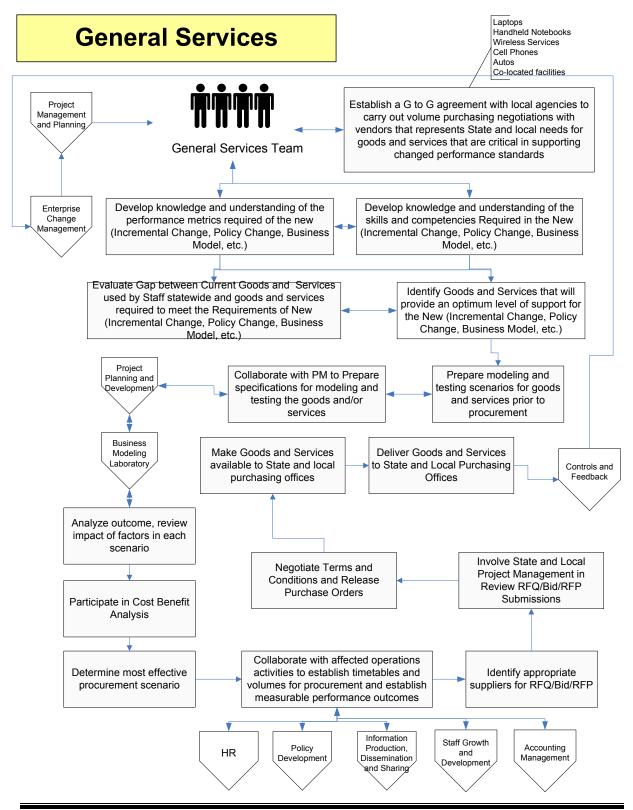




- 6. Security protocols
- 7. On-line information obligations
- 8. Media-based information obligations
- 9. Electronic consumer records
- 10. Electronic documents
- 11. Dissemination media
- 12. Archive and purge standards
- 13. Education of consumer (staff as well as consumer)
- 14. Agreements with partners will need to include sharing of information
- 15. Interface of systems with systems internally and externally
- 16. Cost of initial interface and maintenance of interface
- 17. Defined responsibilities across the enterprise for use of information
- 18. Staff competencies in translating data into usable information
- 19. Public and consumer information responsibilities



5.3.2. GENERAL SERVICES





Purpose - General Services

To permit local VSSS agencies to procure goods and services from Statewide contracts.

Trigger:

An identified need for State and local goods (notebooks, laptops, cell phones, autos, business supplies), commercial services (wireless, legal, I.T. technical support), facilities (shared State and VSSS local and/or community-based partnerships) and transportation (Share a ride, Amtrak, Commuter trains, parking lot charges)

General Services

Output:

- ✓ Service Level Agreements
 - ✓ Vendor contracts
 - ✓ Rental agreements
 - ✓ Outsource agreements
 - ✓ Fleet control
 - Performance standards and consequences for contractors
- ✓ Procurement contracts
- Information captured to statewide financial management system
- Reports to localities on procurement products and prices
- Electronic communication with State employees and local agencies
- ✓ Performance reporting
- ✓ Do not do business with list

Input:

- Input from local entities related to products, costs and quality prior to procurement
- Identified needs for goods, services, facilities and transportation across the statewide enterprise
- ✓ Requests for goods, services, facilities, and transportation
- Prior contracts (Rental agreements, Outsource agreements-Courier services, Employee parking, etc.)
- Other State agencies (i.e. VITA, VDOT)
- ✓ Fleet control
- Budget
- ✓ Vendor information
- ✓ Bids from vendors
- Requests for disposal of old equipment

 Statistical information on the number of
- personnel for the number of electronic equipment purchased (laptops, vehicles, cell phones, etc.)-Information gathered may be State-wide and locality specific.
- ✓ Business case analysis for any in-house job
- ✓ Business case analysis for any out-sourced jobs
- Cost benefit analysis for all contracts (value, quality products at the best price)
- ✓ Cost benefit analysis
- Feedback from contracted services
- Feedback from local agencies

Outcome:

Reduction of VSSS statewide costs in local procurement activities and lower cost of goods and services through benefits derived from economies of scale and leverage of statewide volumes





Characteristics of the New Business Model

Define To Be Activity

Trigger

An identified need for State and local goods (notebooks, laptops, cell phones, autos, business supplies), commercial services (wireless, legal, I.T. technical support), facilities (shared State and VSSS local and/or community-based partnerships) and transportation (Share a ride, Amtrak, Commuter trains, parking lot charges)

2. Purpose

To provide for the most effective procurement of goods and services for State VSSS operations and to permit local VSSS agencies to procure goods and services from State-wide contracts

3. Inputs

- Input from local entities related to products, costs and quality prior to procurement
- b. Identified needs for goods, services, facilities and transportation across the statewide enterprise
- c. Requests for goods, services, facilities, and transportation
- d. Prior contracts (Rental agreements, Outsource agreements—Courier services, Employee parking, etc.)
- e. Other State agencies (i.e. VITA, VDOT)
- f. Fleet control
- g. Budget
- h. Vendor information
- i. Bids from vendors
- j. Requests for disposal of old equipment
- k. Statistical information on the number of personnel for the number of electronic equipment purchased (laptops, vehicles, cell phones, etc.) —Information gathered may be State-wide and locality specific.
- I. Business case analysis for any in-house job
- m. Business case analysis for any out-sourced jobs
- n. Cost benefit analysis for all contracts (value, quality products at the best price)
- o. Cost benefit analysis
- p. Feedback from contracted services
- g. Feedback from local agencies

4. Outputs

- a. Service Level Agreements
 - Vendor contracts
 - Rental agreements
 - Outsource agreements
 - Fleet control
 - Performance standards and consequences for contractors
- b. Procurement contracts
- c. Information captured to statewide financial management system





- d. Reports to localities on procurement products and prices
- e. Electronic communication with State employees and local agencies
- f. Performance reporting
- g. Do not do business with list

5. Outcomes

Leverage of statewide procurement volumes resulting in system-wide lower cost of goods and services through benefits derived from economies of scale

6. Hand-Offs

- a. State and Local operations to VSSS general services
- b. VSSS general services to Accounting Management
- c. VSSS general services to State GSA
- d. VSSS general services to State and local operations

7. Cost Drivers and Costs

- a. Centralized general services function
- b. Reduced electronic equipment costs (cell phones, wireless, printers, laptops)
- c. Staff and labor for local support
- d. Legal costs for contract development

8. Integral Activities

- a. Strategic Planning
- b. Enterprise Change Management
- c. Operational Management
- d. Accounting Management
- e. Local agency administrative management
- f. IT Support
- g. State Department of General Services

9. Peripheral Activities

- a. Policy development
- b. IT

10. Information Management Support to Achieve Result Desired

- a. Support from statewide financial accounting system
- b. Automated support for procurement that provides for
- c. Tracking, reporting, and that is interfaced with other VSSS local and vendors systems

11. Changed System to System Communication

N/A

12. Define Performance Standards

- a. Procurement
- b. Consistently high quality products at the best price
- c. Cost and quality analysis consistently performed on each bid for goods, services or facilities





- d. Timely in the negotiation of contracts
- e. Contracts must meet defined needs of the enterprise
- f. Consistent review of contracts, including feedback from State users and/or local agencies
- g. Adjustment or termination of contracts that are unsatisfactory

Human Resource Requirements for Critical New or Changed Jobs

- Critical New or Changed Job
 Not a new job, but there will be additional skills that will be required to successfully
 perform this role
- 2. Skills and Background Ability to understand relationship of VSSS strategic direction and general services contributions; high-volume procurement skills; Familiar with technology, and application of technology in the To Be environment; working knowledge of negotiating and contract development. Interpersonal skills, organizational skills, communication skills (written and verbal), able to analyze budget and statistical information across the State and local enterprise and use the information gathered effectively; ability to differentiate between when a bid or RFP can better be used in the specific situation.
- 3. High Level Job Description Must be skilled in working with upper level management, both internal and external to the enterprise. Person must keep the strategic interests of the enterprise in the forefront, have knowledge of market negotiation skills, as well as conduct/initiate research and comparison studies. May be a participant in the Business Modeling Laboratory as required.

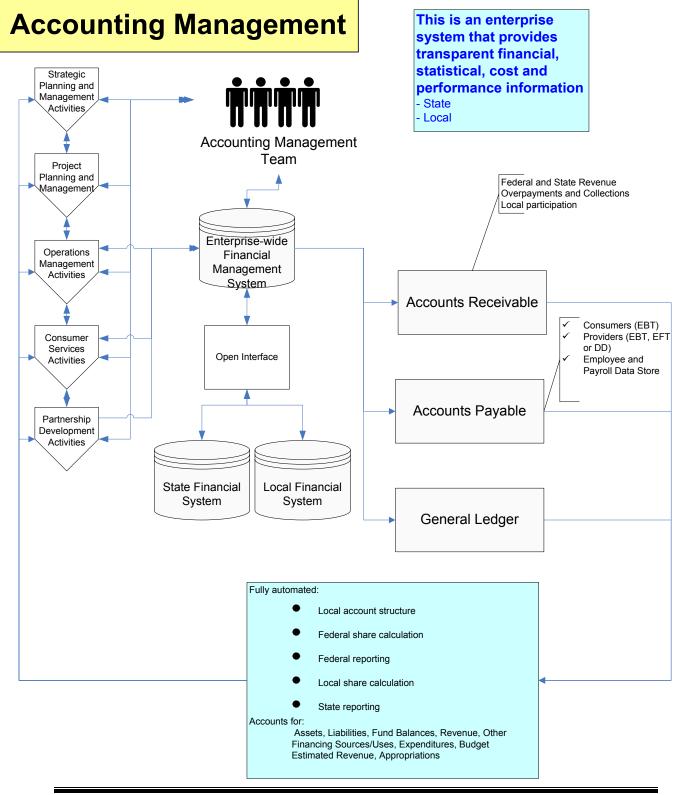
Identify Policy or Procedural Issues

- 1. Relationship with the State Department of General Services allowing VSSS general services to act on behalf of localities
 - Enhancement of the procurement process to include Local agency needs
 - Electronic systems use and access, including interfacing with State partners and Local agencies
 - Phasing out of the use of contracts for services that are no longer needed in the To Be business model (e.g., courier services)
 - Re-negotiating current contracts with potentially new performance standards based on performance requirements of the To Be business model
 - Clearly defined roles and responsibilities that may redefine assignment of job responsibilities to other areas of the organization (i.e., employee parking, security entry cards)





5.3.3. ACCOUNTING MANAGEMENT

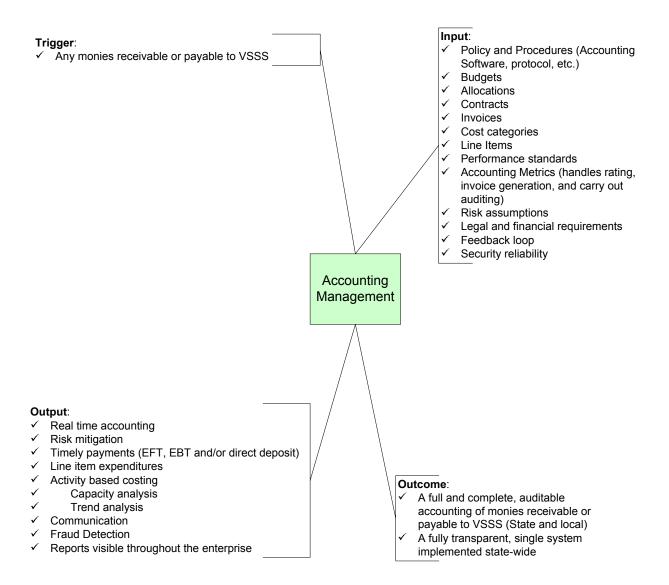






Purpose - Accounting Management

To record and track receipts and payments, to balance receipts and expenditures to budgeted categories and funding sources, to demonstrate accountability







Characteristics of the New Business Model

Trigger

Any monies receivable or payable to VSSS

2. Purpose

To record and track receipts and payments, to balance receipts and expenditures to budgeted categories and funding sources, to demonstrate accountability

3. Inputs

- a. Policy and Procedures (Accounting Software, protocol, etc.)
- b. Budgets
- c. Allocations
- d. Contracts
- e. Invoices
- f. Cost categories
- g. Line Items
- h. Performance standards
- i. Accounting Metrics (handles rating, invoice generation, and carry out auditing)
- j. Risk assumptions
- k. Legal and financial requirements
- I. Feedback loop
- m. Security reliability

4. Outputs

- a. Real time accounting
- b. Risk mitigation
- c. Timely payments (EFT, EBT and/or direct deposit)
- d. Line item expenditures
- e. Activity based costing
- f. Capacity analysis
- g. Trend analysis
- h. Communication
- i. Fraud Detection
- j. Reporting

5. Outcomes

A full and complete, auditable and transparent, accounting of monies receivable or payable to VSSS (State and local)

6. Hand-Offs

- a. Tracking and reporting Local to State
- b. Tracking and reporting State to Federal

7. Cost Drivers and Costs

- a. Development and implementation and maintenance of a statewide financial management system
- b. Personnel assigned to accounting management





- c. Staff development in use of software and hardware
- d. Staff development in new accounting methodologies
- e. Auditing
- f. Reporting

8. Integral Activities

- a. Policy development
- b. System support
- c. Budget planning and resource allocation
- d. Controls and feedback

9. Peripheral Activities

- a. State and local operational management
- b. VSSS strategic plan
- c. Partners/stakeholders
- d. Staff Growth and Development

10. Information Management Support to Achieve Result Desired

- a. Single statewide financial management system
 - Scalable and reliable
 - Transparency
 - Fault resilient (robustness)
 - Web based
 - Security
 - Real time
 - Interim accounting records (back-up support)
- b. System has the capability to document financial contract provisions and compare invoices to contracts for authorization of payment

11. Changed System to System Communication

a. All current systems will require a cross-system communication capability, with a feedback loop in order to report invoicing (expenditures) and payments

12. Define Performance Standards

- a. Accounting and financial management information is readily available at all levels of the organization
- b. There is real-time access to current up-to-date financial transactions
- c. Information can be converted to usable formats based on the needs of the end user
- d. The statewide financial management system provides a single source of transparent auditable information across the State and local agencies
- e. The system provides for electronic invoicing
- f. Invoices are immediately recorded for payment
- g. Payments are immediate following receipt of invoice, or in no case more than 15 days, or as pre-scheduled, as in the case of benefits or food stamps
- h. System has the capability to document financial contract provisions and compare invoices to contracts for authorization of payment
- i. Month end reconciliation is completed within 24 hours





- j. Year end reconciliation is completed within 30 days
- k. Differences in Federal, State and Local fiscal years are accounted for without manual intervention
- I. User friendly
- m. Scalable and reliable
- n. Transparent
- o. Fault resilient
- p. Issue timely and accurate payments
- q. Monitoring
- r. Auditing

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job

Not a new job. May be retraining to currently existing positions across State and local operations in different accounting procedures and system.

- 2. Skills and Background
 - a. Ability to use statewide financial system
 - b. Analytical skills
 - c. Experience with financial transactions
 - d. Experience preparing financial documents
 - e. Computer skills
 - f. Accounting skills
 - g. Attention to details
 - h. Deadline oriented
 - i. Time management skills

3. High Level Job Description

The Accounting Manager is responsible for tracking the enterprises' expenses, as well as, prepare, analyze and verify financial documents. They are a member of the executive team who record and analyze information about budgets, costs and assets. Their work supports strategic planning and product development. They authorize financial reports for stakeholders, partners, or government entities. They maintain and examine government records. They must be a fiscal officer, verify the accuracy of the enterprises' financial records.

Identify Policy or Procedural Issues

- 1. An organizational commitment to timely payments
- 2. Elimination of batch operations that results in inaccurate or delayed information to the financial management system
- 3. Security schemes that support on-line, real time accounting work to be done
- 4. An organizational commitment to transparency
- 5. Local decisions on use of a statewide financial management system
- 6. Changes to the way that State and local finances flow
- 7. Local dollars and accounting vs. State dollars and accounting
- 8. Network identifier (system access)



Desire to supplement state and

Community-based indices on the community's well-being

local agency capability

Demographics

Geography

Public Relations and

Marketing

Calendaring

Academia

Public Forums Workshops

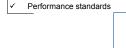


5.4. PARTNERSHIP DEVELOPMENT BUSINESS ACTIVITY DESCRIPTIONS

5.4.1. COMMUNITY EDUCATION AND PARTNERSHIP OUTREACH

Community Education and Partnership Outreach Definition of community-based Based on: services Identified mutual benefits

- Roles and relationships Outreach and education goals
- Identified current partnerships
- Identify other community resources that can be educated and solicited Methodologies for educating and
- outreach Individuals who are responsible for
- education and outreach
- Scheduled and calendared venues



- Communitybased Services Strategic Planning
- Strategic Planning and Management

Input from all sources

Develop Training and

Outreach Materials

- Activities
- Start with most used resources
- **Demonstration of tools**
- What we can offer
- What we need
- Get input on who else to approach

- Identify potential
- partners
- Outreach Plan
- Provide Face to Face Introduction to VSSS Partnership Strategic Objectives and Benefits of Community-Based
 - **Partnerships**
- Identify Common Benefits
- Identify a collective of potential community partners interested in and willing to continue the planning effort



Collateral

Newsprint

Media

Press Releases





<u>Purpose – Community Education and Partnership Outreach</u>

To build and develop relationships that acknowledge the value of community-based services; to be able to expand service delivery options by soliciting broad-based involvement of other community services providers.

Trigger:

✓ A strategic direction within VSSS to provide a leadership role in developing community-based services

Input:

- ✓ Definition of community-based services
- √ Identified mutual benefits
- Roles and relationships
- ✓ Outreach and education goals
- Identified current partnerships
- ✓ Identify other community resources that can be educated and solicited
- Methodologies for educating and outreach
- Individuals who are responsible for education and outreach
- ✓ Scheduled and calendared venues
 - Performance standards

Community Education and Partnership Outreach

Output:

- ✓ Planned activities and approach local and statewide communities
- ✓ Assignments to responsible individuals
- ✓ Identification of community interest and potential support
- ✓ Performance Measures

Outcome:

- A collective of community-based interested parties that has identified mutual benefits and desire to continue the planning effort.
- Developed best practices in eliciting interested parties





Characteristics of the New Business Model

1. Trigger

A strategic direction within VSSS to provide a leadership role in developing community-based services

2. Purpose

To build and develop relationships that acknowledge the value of community-based services; to be able to expand service delivery options by soliciting broad-based involvement of other community services providers.

3. Inputs

- a. Definition of community-based services
- b. Identified mutual benefits
- c. Roles and relationships
- d. Outreach and education goals
- e. Identified current partnerships
- f. Identify other community resources that can be educated and solicited
- g. Methodologies for educating and outreach
- h. Individuals who are responsible for education and outreach
- i. Scheduled and calendared venues
- j. Performance standards

4. Outputs

- a. Planned activities and approach local and statewide communities
- b. Assignments to responsible individuals
- c. Identification of community interest and potential support
- d. Performance Measures

5. Outcomes

A collective of community-based interested parties that has identified mutual benefits and desire to continue the planning effort. Developed best practices in eliciting interested parties.

6. Hand-Offs

N/A

7. Cost Drivers and Costs

- a. Outreach and education materials statewide materials with a local flavor
- b. Staff time to develop the education and outreach approach
- c. Travel time and travel expenses
- d. Differing level of outreach/education in areas of locality and differing approaches to the activity
- e. Staff time and outreach labor (salaries/overtime)
- f. Outsource costs for some of the above activities
- g. Facilities/refreshments
- h. Advertising
- i. Rewards for achieving defined level of partnerships





j. Evaluating results and modifying approach on the basis of performance standards

8. Integral Activities

- a. Community-based providers
- b. VSSS Strategic Planning
- c. Locality Strategic Planning

9. Peripheral Activities

Local Operational Management

Local Consumer Services

- a. Office automation tool that can be standardized to produce an expected result
- b. Materials publishing in varied forms and languages
- c. Databases to store potential attendees with updatable fields on interest, commitment, potential services, levels of capability, contacts, assigned responsibilities; calendaring
- d. I.T. security
- e. Production of surveys and tallying of surveys
- f. Publishing of outcomes from education and outreach
- g. Communication of results and best practices

10. Changed System to System Communication N/A

11. Define Performance Standards

- a. Materials availability within 90 days of implementation of activity.
- b. % of community-based partners (local and state) to be reached within a given timetable.
- c. % of feedback expected within a timeline
- d. % of positive feedback expected within a given timetable
- e. # of new partners to have in place and increase over time (benchmarking and comparison analysis)
- f. % of expected participation

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job

Partnership Developer (1. Could be a shared job responsibility across or among localities. 2. A State Partnership Developer role can support localities by area or statewide)

Resource Developer/public relations position classes exist in some localities (may offer resources for specifying the job)

2. Skills and Background

Excellent inter-personal and communications skills, understanding of or experience in marketing, private or public sector; ability to analyze and evaluate performance metrics against standards and to develop a business case; a relationship builder.





3. High Level Job Description

This is a management position that requires mobility and skill in use of tools to support mobility. The individual will be responsible for carrying out the education and outreach component of a strategic direction for building community-based services; for understanding the philosophy of value in community-based partnerships; for developing planned, innovative approaches to educating and providing outreach to potential partners. There is a familiarity with budgeting and will be responsible for working within a budget. Must be responsible for reporting progress and performance against established standards and expectations. Must be able to work within a work group to define and develop community-based services.

Identify Policy or Procedural Issues

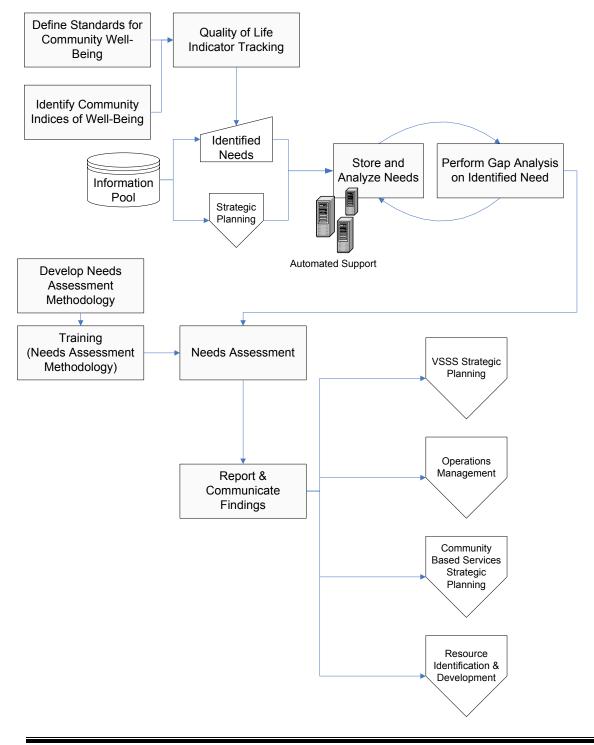
- 1. To be direction
- 2. Change Management direction timeline has to be set
- 3. Job Classes to support capability
- 4. Role and relationships between State and local Developer
- 5. General guidelines
- 6. Timelines and standards for performance at the State level
- 7. Timelines and Standards for performance at the local level
- 8. Examination of existing policy or law that would limit or prohibit broad-based community partnering by VSSS





5.4.2. COMMUNITY NEEDS ASSESSMENT

Community Needs Assessment





Purpose - Community Needs Assessment

To analyze community demographics against established indicators to define specific community deficiencies that could be corrected if the right services are developed and delivered to the right population through the right means.

Trigger:

- A strategic direction within VSSS to provide a leadership role in identifying community needs that can be better supported through community-based services
- ✓ A previously unidentified need is identified (during initial assessment, changes in demographics within the community, results from census reporting, trend analysis, long term forecasting, communication with partners, federal, statewide or local change in politics or philosophies or policy)

Input:

- ✓ Federal standards for national quality of life
- ✓ State Standard for Community quality of life
- ✓ Local standard for community quality of life (as established by local governance, regional planning efforts, Community-Based Services Strategic Plan)
- ✓ State indices
- ✓ Local indices
- ✓ Gap analysis
- ✓ Population characteristics and demographics
- External stimuli (employer impacts, illegal substance distribution, population influx, disasters)
- ✓ Identified service available to a community
- ✓ Validity tools
- ✓ Reliability factors
- Individuals who are responsible for education and outreach
- Timelines for completion

Community Needs Assessment

Output:

- ✓ Identified populations
- ✓ Identified gaps in quality of life
- ✓ Identified needs for services
- ✓ Gaps in service availability
- ✓ Assessment of need
- ✓ Validation of the reliability of the assessment
- ✓ Performance metrics

Outcome:

Identification of targeted, specific community and consumer needs in order to maximize limited resources by not duplicating, leveraging capabilities across partners to be effective and efficient, with the ability to deliver higher quality services overall, resulting in an improved and sustainable level of community quality of life





Characteristics of the New Business Model

1. Trigger

A strategic direction within VSSS to provide a leadership role in identifying community needs that can be better supported through community-based services

A previously unidentified need is identified (during initial assessment, changes in demographics within the community, results from census reporting, trend analysis, long term forecasting, communication with partners, federal, statewide or local change in politics or philosophies or policy)

2. Purpose

To analyze community demographics against established indicators to define specific community deficiencies that could be corrected if the right services are developed and delivered to the right population through the right means.

3. Inputs

- a. Federal standards for national quality of life
- b. State Standard for Community quality of life
- c. Local standard for community quality of life (as established by local governance, regional planning efforts, Community-Based Services Strategic Plan)
- d. State indices
- e. Local indices
- f. Gap analysis
- g. Population characteristics and demographics
- h. External stimuli (employer impacts, illegal substance distribution, population influx, disasters)
- i. Identified service available to a community
- i. Validity tools
- k. Reliability factors
- I. Individuals who are responsible for education and outreach
- m. Timelines for completion

4. Outputs

- a. Identified populations
- b. Identified gaps in quality of life
- c. Identified needs for services
- d. Gaps in service availability
- e. Assessment of need
- f. Validation of the reliability of the assessment
- q. Performance metrics

5. Outcome

Identification of targeted, specific community and consumer needs in order to maximize limited resources by not duplicating, leveraging capabilities across partners to be effective and efficient, with the ability to deliver higher quality services overall, resulting in an improved and sustainable level of community quality of life.





6. Hand-Offs

N/A

7. Cost Drivers and Costs

- a. Data collection
- b. Developing the Needs Assessment Methodology
- c. Environment for testing the validity and reliability of the methodology
- d. Data analysis
- e. Human resources
- f. Distribution and training in the needs assessment methodology
- g. Broad-based reporting of needs assessment findings

8. Integral Activities

- a. Other state and/or local quality of life indicator tracking activities
- b. Operations management
- c. VSSS Strategic Planning
- d. Community Strategic Planning efforts

9. Peripheral Activities

- a. Other community-based service provider initiatives
- b. Other statewide service provider initiatives

10. Information Management Support to Achieve Result Desired

- Automated support for collecting, storing and analyzing the inputs and for producing outputs
- b. Validity tools and infrastructure to test the methodology and its reliability
- c. Medium for communicating the needs assessment findings
- d. Medium for benchmarking
- e. Technological support for training in the needs assessment methodology, as required by absence of competencies.

11. Changed System to System Communication

N/A

12. Define Performance Standards

- a. Defined standards for quality of life for an area, whether State or locality, or groups of localities
- b. Timeline for completion of needs assessment and publication of findings
- c. Standards for re-assessment of needs on a periodic basis
- d. Standards for broad-based access to the findings results
- e. Establish acceptable confidence levels

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job





Resource or Partnership Developer would take the lead role in developing a collaborative effort within the community to carryout the needs assessment with support from and input from stakeholders and potential and existing community partners. Support staffing for carrying out the needs assessment could be via temporary redeployment of management, analytical or direct services staff from a locality, or may be staffed via the collaborative working relationship between providers.

2. Skills and Background

Same as outreach and education, plus competencies in statistical studies, understanding of quality of life indices, validity and reliability testing methods, ability to synthesize and integrate disparate data, analytical skills regarding findings and ability to see, understand and act on trends and external stimuli, communication skill up and down (across) the organization. Must demonstrate familiarity with the community-wide populations served (demographics, characteristics)

3. High Level Job Description

This is a management position that is responsible for accurately identifying quality of life issues within a community that may be corrected or re-mediated by a collective of community-based resources, assuring that the timelines established for completing a needs assessment for a community are met. The individual will be responsible, directly, for managing and coordinating with stakeholders and potential community partners findings that will allow shaping of services to consumers.

At the State level, the individual may be responsible for design and development of a needs assessment methodology, and for overseeing technical support for local efforts. May also be responsible for providing a tool statewide to localities, aggregating findings for a statewide picture, benchmarking, posting and publicizing findings.

At the local level, responsibilities are more directly focused on completing the needs assessment.

Identify Policy or Procedural Issues

- 1. To Be Model Implementation decision
- 2. Statewide guidelines on initial and periodic needs assessment to support community-based partnering; including the triggers that require re-assessment; including supporting partnerships within the community on the basis of the business case that is made by the benefits to be derived for targeted improvements
- 3. Funding commitments at the State and local level
- 4. Community-wide commitment to community-based needs assessments with an objective to partner to provide services local government resolutions of support?





5.4.3. COMMUNITY-BASED SERVICES STRATEGIC PLANNING

Community-based Services Mission and goals of VSSS and community providers Needs assessment and analysis **Strategic Planning** Participants in strategic planning effort Roles and responsibilities of participants Resources identified Existing partnerships and individual providers status and success rates/score cards Performance standards Community-based, state, federal, VSSS financial Community resources/funding/funding constraints Political and governmental trends Needs Assessment Policy and policy constraints Planning Timeframes Periodic Strategic Implementation Timeframes **Planning Sessions** Community and stakeholder input/surveys, consumer surveys Input from further needs assessment, shifts in need, Community etc. that cause re-evaluation of the Strategic Plan Education and Accomplishments or challenges for action plan work Partnership Performance Measures - Strategic Planning, Action Outreach Are Plans and accomplishments, Measures for follow-up Community's Needs being Are Met? Update performance Performance Metrics Metrics adequate? Νo Analyze Reason for Yes the Shortfall Identify and Short Term Goals Prioritization assign work groups Long Term Goals Generate recommendations for policy and/or Governance Develop Resource Action Planning Identification Community by Teams / and **Based Services** velopment Work Groups Strategic Plan **Identify Potential** Additional Funding Streams



Purpose - Community-Based Services Strategic Planning

To devise a plan with short-term and long-term goals for community-based service providers with capability to improve indices that are indicators of the community's quality of life.

Trigger:

The needs assessment identifies needs that may be met more effectively through a community-based services approach.

Output:

- Prioritizing of indices and needs within funding and service delivery constraints
- Identified additional funding levels and action plans for increasing allocations or improving levels of grant funding
- Defined levels of real potential impact on the community's quality of life
- A strategic plan with short and long-term goals; revised plans
- Action plans focused on partnership building and performance
- Assigned responsibilities for carrying out action plans
- Communicating Strategic recommendations to policy or governing bodies
- Performance metrics

- Mission and goals of VSSS
- Mission and goals of community providers
- Needs assessment and analysis
- Participants in strategic planning effort
- Roles and responsibilities of participants
- Resources identified
- Unmet needs
- Non-existent services
- Existing partnerships status of partnerships - success rates - score cards - performance outcomes or metrics - benchmarks
- Individual providers success rates score cards - performance outcomes or metrics benchmarks
- Performance standards
- Community-based, state, federal, VSSS financial resources/funding/funding constraints
 - Political and governmental trends
- Policy and policy constraints
- Planning Timeframes
- Implementation Timeframes
- Community and stakeholder input/surveys
- Consumer surveys
- Input from further needs assessment, shifts in need, etc. that cause re-evaluation of the Strategic Plan
- Accomplishments or challenges for action plan work groups
- Performance Measures Strategic Planning
- Performance Measures Action Plans and accomplishments
- Performance Measures for follow-up

Commitment to achievement of the Strategic Plan's goals and successful accomplishment of action plans



Community-

based Services

Strategic

Planning



Characteristics of the New Business Model

1. Trigger

The needs assessment identifies needs that may be met more effectively through a community-based services approach

2. Purpose

To devise a plan with short-term and long-term goals for community-based service providers with capability to improve indices that are indicators of the community's quality of life

3. Inputs

- a. Mission and goals of VSSS
- b. Mission and goals of community providers
- c. Needs assessment and analysis
- d. Participants in strategic planning effort
- e. Roles and responsibilities of participants
- f. Resources identified
- g. Unmet needs
- h. Non-existent services
- Existing partnerships status of partnerships success rates score cards performance outcomes or metrics – benchmarks
- j. Individual providers success rates score cards performance outcomes or metrics - benchmarks
- k. Performance standards
- Community-based, state, federal, VSSS financial resources/funding/funding constraints
- m. Political and governmental trends
- n. Policy and policy constraints
- o. Planning Timeframes
- p. Implementation Timeframes
- q. Community and stakeholder input/surveys
- r. Consumer surveys
- s. Input from further needs assessment, shifts in need, etc. that cause re-evaluation of the Strategic Plan
- t. Accomplishments or challenges for action plan work groups
- u. Performance Measures Strategic Planning
- v. Performance Measures Action Plans and accomplishments
- w. Performance Measures for follow-up

4. Outputs

- a. Prioritizing of indices and needs within funding and service delivery constraints
- b. Identified additional funding levels and action plans for increasing allocations or improving levels of grant funding
- c. Defined levels of real potential impact on the community's quality of life
- d. A strategic plan with short and long-term goals; revised plans
- e. Action plans focused on partnership building and performance
- f. Assigned responsibilities for carrying out action plans





- g. Communicating Strategic recommendations to policy or governing bodies
- h. Performance metrics

Outcomes

Commitment to achievement of the Strategic Plan's goals and successful accomplishment of action plans

6. Hand-Offs

- a. Needs assessment to strategic planning team
- b. Strategic planning team to resource developer
- c. Resource developer to strategic planning team
- d. To Action Plan Teams/work groups
- e. Work groups to strategic planning team

7. Cost Drivers and Costs

- Staff time for VSSS and community-based participants in the strategic planning effort
- b. Facilities and associated costs of meetings
- c. Publicizing meetings
- d. Publicizing/publishing outputs/results
- e. Communication medium for on-going work across teams
- f. Staff time for collaboration and relationship-building

8. Integral Activities

- a. Community education and outreach
- b. Community needs assessment
- c. Resource identification and development
- d. Consumer services activities performance metrics reporting
- e. Partnership agreements and maintenance
- f. Leveraging resources and grant funding

9. Peripheral Activities

- a. State and local operational management
- b. VSSS strategic planning

10. Information Management Support to Achieve Result Desired

- Networked Office automation capabilities including Word, Excel, Calendaring, Email
- b. Web-based communication medium for accessing a standardized tool for strategic planning, for receiving incoming input, and for communicating status and results

Changed System to System Communication N/A

12. Define Performance Standards

- a. Defined targets for Action Plan work group deliverables
- b. Planning Timelines





- c. Strategic timelines
- d. Change in targeted indices over a specified timeframe

Human Resource Requirements for Critical New or Changed Jobs

- Critical New or Changed Job
 Not a new job this is a community-based collaborative staffed by the pre-defined resource or partnership development manager/team
- 2. Skills and Background
 Competencies derived from training for community participants in the strategic
 planning effort in order to produce the outcomes required
- 3. High Level Job Description

Identify Policy or Procedural Issues

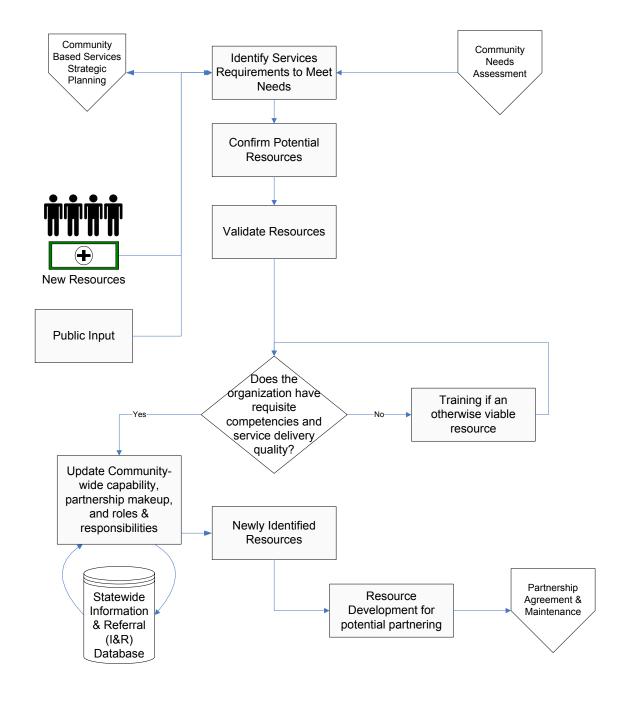
- 1. Guidelines for general standardization of the strategic planning tools across localities; similar methods; dissimilar structures, participants, approaches
- 2. Combining or collapsing funding streams to eliminate duplication of activities, such as Safe and Stable Families, and Healthy Families money.
- 3. Local commitment to the community-based strategic planning effort that focuses on community-based partnerships to improve quality of life.





5.4.3.1. Resource Identification and Development

Resource Identification & Development





Purpose - Resource Identification and Development

To define the community-based services that can be delivered via partnerships to consumers to resolve short-term, immediate financial and services issues and to establish, when necessary, collaboration on longer-term universal financial and services plans for individuals and/or households to maximize opportunities for services success.

To recruit new resources and develop as a community-based partner on the basis of the value of expanded resources or ability to meet unmet needs

Trigger:

- The community-based needs assessment identifies targeted populations and targeted needs
- New resources become available within the community.
- Community-based Services Strategic Planning Team requests research and analysis of potential pool of community-based resources, identification of unmet needs and non-existent services to be targeted needs

Input:

- ✓ Identified gaps
- ✓ Identified targeted need
- ✓ Identified targeted population
- Identified internal and external service delivery capability/entities in the community and/or statewide
- Identified core competencies by internal and external entity
- ✓ Identified non-existent services
- ✓ Identified services capabilities for development
- Community input on decisions about the proposed service delivery system (partnerships)
- New community resources available to meet unmet need
- Current operational standards tests/criteria for quality (rankings)
- ✓ Performance standards

Resource Identification and Development

Output:

- Decision-making on the appropriate partner entities to span a full range of needs within the communities
- ✓ Defined roles and relationships
- ✓ Communication community-wide on the service delivery decisions made
- ✓ Updates to the statewide information and referral
- ✓ Identification of funding constraints to develop or provide resources for unmet needs or non-existent services
- Newly developed resources for previously nonexistent services
- Reassessment of community-based capability and revised decision-making on the partnership makeup
- ✓ Modified roles and responsibilities

Outcome:

✓ Identified community resources that meet basic criteria/operational standards and have potential to maximize, not duplicate, but leverage skills and capacities to be effective and efficient, with delivery of a higher quality of service overall, resulting in an improved level of community quality of life





Characteristics of the New Business Model

1. Trigger

The community-based needs assessment identifies targeted populations and targeted needs

New resources become available within the community.

Community-based Services Strategic Planning Team requests research and analysis of potential pool of community-based resources, identification of unmet needs and non-existent services to be targeted needs.

2. Purpose

To define the community-based services that can be delivered via partnerships to consumers to resolve short-term, immediate financial and services issues and to establish, when necessary, to collaborate on longer-term universal financial and services plans for individuals and/or households to maximize opportunities for services success.

To recruit new resources and develop as a community-based partner on the basis of the value of expanded resources or ability to meet unmet needs.

3. Inputs

- a. Identified gaps
- b. Identified targeted need
- c. Identified targeted population
- d. Identified internal and external service delivery capability/entities in the community and/or statewide
- e. Identified core competencies by internal and external entity
- f. Identified non-existent services
- g. Identified services capabilities for development
- h. Community input on decisions about the proposed service delivery system (partnerships)
- i. New community resources available to meet unmet need
- j. Current operational standards tests/criteria for quality (rankings)
- k. Performance standards

4. Outputs

- a. Decision-making on the appropriate partner entities to span a full range of needs within the communities
- b. Defined roles and relationships
- c. Communication community-wide on the service delivery decisions made
- d. Updates to the statewide information and referral database
- e. Identification of funding constraints to develop or provide resources for unmet needs or non-existent services
- f. Newly developed resources for previously non-existent services
- g. Reassessment of community-based capability and revised decision-making on the partnership make-up
- h. Modified roles and responsibilities





5. Outcomes

Identified community resources that meet basic criteria/operational standards and have potential to maximize, not duplicate, but leverage skills and capacities to be effective and efficient, with delivery of a higher quality of service overall, resulting in an improved level of community quality of life

6. Hand-Offs

- a. Strategic planning to research and analysis
- b. Research and analysis to strategic planning

7. Cost Drivers and Costs

- a. Training
 - Technical assistance between state and local
 - Assessing core competencies
 - Build competencies
 - Research and analysis
 - Resource development
- b. Maintenance of the Information and Referral database
- c. Maintenance of the relationships that support identification of resources
- d. Staffing the research and analysis effort

8. Integral Activities

- a. Strategic planning
- b. Needs Assessment

9. Peripheral Activities

- a. Community-based providers
- b. State or federal grant initiatives

10. Information Management Support to Achieve Result Desired

- a. Database support for the detailed data by locality, by the State, that supports decision-making
- b. Automated I & R facility must have open access with input capability at the local level and by providers to maintain currency, including various status information, such as:
 - Licensing
 - Certifications
 - Services provided
 - Rates
 - Results
 - Ratings of quality/success
 - Historical detail (length of time in business, etc., number of completed referrals, follow-up)
 - Core competencies
 - Staff competencies
 - Complaints
 - Availability





- c. Ability to sort and queue information by locality, by location, by type of service and competencies, by availability
- d. I & R facility to be widely available, including to state and local law makers

11. Changed System to System Communication

- a. Database of resources once a resource is validated is communicated directly to the I
 & R facility
- Access to the I & R facility to be available from the initial assessment tool, through Oasis, through Adapt, through SPIDeR, through the web for consumers or stakeholders

11. Define Performance Standards

- a. Target timelines for development of resources to meet unmet needs
- b. Research and analysis has due dates as required to contribute to the strategic planning effort

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job Additional responsibilities for the Resource or Partnership Developer – extended responsibilities for an individual or team

2. Skills and Background

In addition to previous skills, the added skills of negotiation and collaboration, the integrity to not put quantity before quality,

3. High Level Job Description

This is a management level responsibility to evaluate community-based resources against identified needs and gaps in services in order to identify or develop resources that meet basic criteria or operational standards to qualify as a pool of community-based resources. The individual will be expected to manage a budget and complete work responsibilities within the budget. The individual is responsible for assuring that the work product is communicated to a statewide I & R facility for wide access and use. The individual is responsible for communicating results, resources identified, funding required to meet unmet needs, and perform the "Staff" role to the Strategic Planning team. The VSSS employee is responsible as staff to the Community-Based Services Strategic Planning Team.

Identify Policy or Procedural Issues

- 1. Policy related to VSSS staffing ad hoc strategic planning effort
- 2. Guidelines on basic criteria or operational standards for providers that are viable as community-based partners and/or for addition to the I&R facility

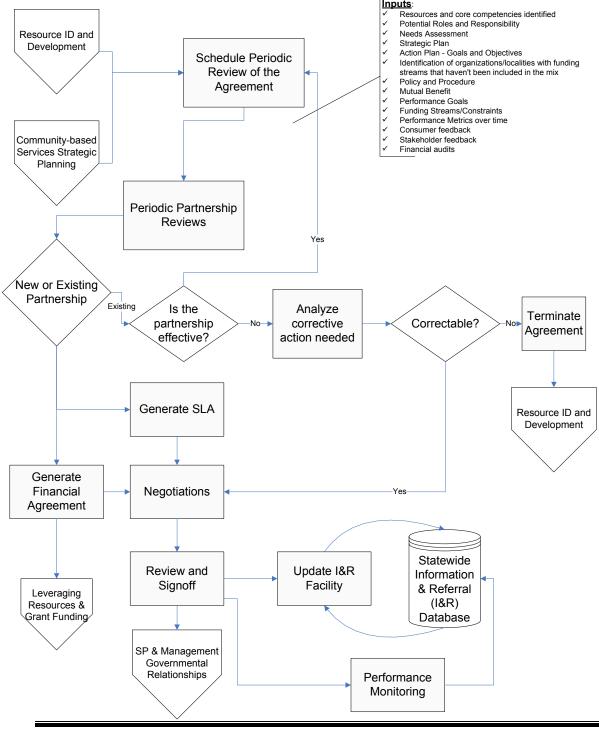
Guidelines on methodologies for developing community-based resources, identifying unmet needs, non-existent services, developing new resources, effective use of existing resources – with best practices





5.4.4. PARTNERSHIP AGREEMENTS AND MAINTENANCE

Partnership Agreements & Maintenance





Purpose - Agreement and Maintenance

To negotiate agreements with other community-based service providers for the purpose of maximizing resources, and to establish and maintain a structured, organized, and complimentary relationship between community service-delivery partners in order to meet targeted needs of consumer households within the community.

Input: Trigger: Resources and core competencies Identification of a resource that can meet a identified community-based need, and both VSSS and the Potential Roles and resource have identified mutual benefits to form a Responsibility partnership. Needs Assessment Strategic Plan Action Plan Goals and Objectives Identification of organizations/ localities with funding streams that haven't been included in the mix Policy and Procedure **Mutual Benefit** Performance Goals Funding Streams/Constraints Performance Metrics over time Consumer feedback Stakeholder feedback Agreement Financial audits and Maintenance Output: Two-way Service Level Agreement Expectations Roles and Responsibilities ✓ – Performance Standards and Measures ✓ Milestone timeline for re-evaluation Outcome: ✓ Financial Agreement

A partnership agreement is in place to

support the purpose of the activity

✓ Routine Reporting

✓ Status update to I and R facility



Characteristics of the New Business Model

1. Trigger

Identification of a resource that can meet a community-based need, and both VSSS and the resource have identified mutual benefits to form a partnership.

2. Purpose

To negotiate agreements with other community-based service providers for the purpose of maximizing resources, and to establish and maintain a structured, organized, and complimentary relationship between community service-delivery partners in order to meet targeted needs of consumer households within the community.

3. Inputs

- a. Resources and core competencies identified
- b. Potential Roles and Responsibility
- c. Needs Assessment
- d. Strategic Plan
- e. Action Plan
- f. Goals and Objectives
- g. Identification of organizations/localities with funding streams that haven't been included in the mix
- h. Policy and Procedure
- i. Mutual Benefit
- j. Performance Goals
- k. Funding Streams/Constraints
- I. Performance Metrics over time
- m. Consumer feedback
- n. Stakeholder feedback
- o. Financial audits

4. Outputs

- a. Two-way Service Level Agreement
- b. Expectations
- c. Roles and Responsibilities
- d. Performance Standards and Measures
- e. Milestone timeline for re-evaluation
- f. Financial Agreement
- g. Routine Reporting
- h. Status update to Information and Referral facility

5. Outcomes

A partnership agreement is in place to support the purpose of the activity.

6. Hand-offs

Governing body reviews

7. Cost Drivers





- a. Negotiation effort staff labor
- b. Labor devoted to on-going measurement and review, re-evaluation and renegotiation Communication levels to maintain integrity of the partnership
- c. Co-location facilities and support costs
- d. Information management support
- e. Travel expenses
- f. Stakeholder and community member (including consumers) time input, review, staying in touch with published information or other forms of active communication with the effort
- g. Consumer survey
- h. Stakeholder survey
- i. Ending ineffective partnerships and establishing replacement resources

8. Integral Activities

- a. Strategic Plan Action Planning
- b. Resources and Grant Funding

9. Peripheral Activities

- a. Census Updates
- b. Council on Virginia's Future
- c. VSSS Strategic Planning
- d. Local Indices Measurement
- e. Licensing
- f. Legislation

10. Information Management Support

- a. Web-based support for communicating partnerships to the stakeholders and community
- b. Ability to automatically generate and receive status information to I & R facility on partnership status and performance
- c. Office automation support for development of the agreements, and for any performance metrics, analyses, and reporting
- d. Access to automated indices and performance information

11. Changed System to System Communication

N/A

12. Define Performance Standards

- a. Established milestones or triggers (effectiveness factor for example) for review
- b. Number of expected referrals
- c. Number of staff to consumers
- d. Number of completed units of service
- e. Number of successful completed units of service
- f. Partnership effectiveness (a comparative value derived from all the factors)
- g. 100% consumer feedback
- h. Consumer satisfaction
- i. Time to completion of a unit of service
- i. Recidivism rate





- k. Benchmark performance against other like partnerships
- I. Timeliness of response to consumer referrals
- m. # of consumer contacts required to deliver a successful completed service
- n. Timeliness of response to partners (VSSS or other); use of shared information resources
- o. Cost to completion of a unit of service
- p. Cost to completion of a successful unit of service
- q. Maintenance of core competencies (CEUs, licensing, etc.)
- r. Measurement of stability of consumer service delivery staff

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job

Job responsibilities are carried under the same job description as the Partnership or Resource Developer. In large organizations, this may be several participants on a team.

2. Skills and Background

Similar organizational and time management, and communication skills, analytical skills (inductive and deductive reasoning) for identifying and quantifying community needs and for measuring performance and outcomes, negotiation skills, well developed performance management skills, ability to develop and manage community-based partnership agreements and/or associated contracts for services.

3. High Level Job Description

This management level individual (or manager and team) will be expected to establish formal partnerships within a defined community to deliver targeted community-based services. The individual will have a wide array of partnership development responsibilities and must have the capacity to manage multiple facets of agreements for services by a single entity, and must be able to manage multiple partnerships delivering a wide variety of services. The individual must be equally skilled at developing relationships and partnerships, at managing a business, monitoring performance, auditing outcomes, forecasting trends, managing relationships and conflicts. This individual is responsible for identifying when partnership specifics are not achieved and acting on corrective action or termination of the partnership.

Local partnership developers might be responsible for local partnerships with: local non-profits, faith-based organizations, local domestic violence programs, housing, schools, court services, hospitals, local business, law enforcement, emergency services (ambulance, lifeline), local transportation services.

NOTE: The BPR Team identified that there is a role for partnership development capabilities within State VDSS for developing State-wide partnerships. The job description for this and other positions would be similar in scope.

For example: State Vital Stats, Energy companies, universities and colleges, Department of Rehab services, Health Department, Statewide mental health, DMAS.





Identify Policy or Procedural Issues

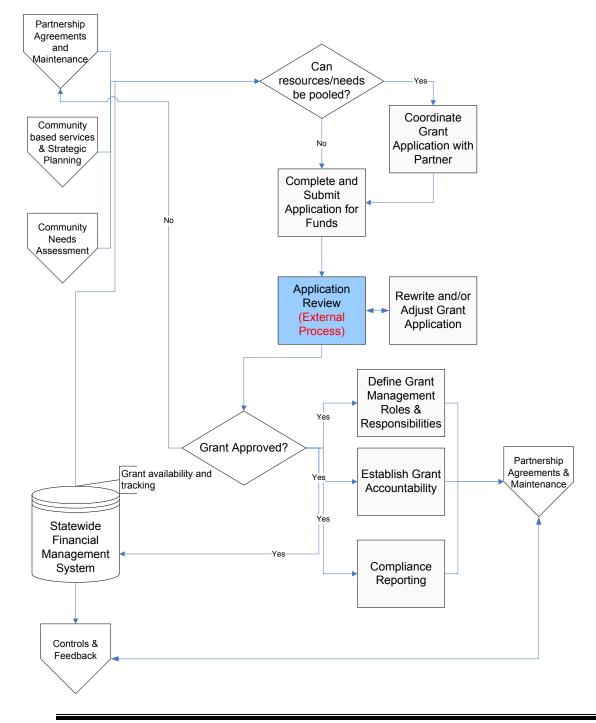
- 1. Chain of command
- 2. State Technical Support and levels thereof
 - Agreement Templates
 - Guidelines
- 3. Defined roles and responsibilities participants within the partnerships
- 4. Contribution of money or resources doesn't equal share of authority stress the collaborative role
- 5. Independence of Authority for negotiating and terminating agreements
- 6. Independence of authority for defining levels of financial commitment to the partnership
- 7. Authority for making changes to the agreement
- 8. Review of partnership if the entity not complying with terms of the agreement are a local VSSS office or the State VDSS who has authority to conduct review
- 9. Legal issues or liabilities for VSSS in formalizing and enforcing agreements with other community providers
- 10. Due process for potential terminations of agreements irrespective of who the issue is against





5.4.5. LEVERAGING RESOURCES AND GRANT FUNDING

Leveraging Resources and Grant Funding





<u>Purpose – Leveraging Resources through Grant Funding</u> <u>and Management</u>

To attain and ensure that the appropriate level of funding is made available to support a targeted, community-based service.

Trigger:

✓ Lack of funding, or lack of appropriate level of funding to support a service identified by Community-based Strategic Planning as a targeted need.

Input:

- Detailed statistics from Needs Assessment and Strategic Planning
- ✓ Existing funding levels gap in funding
- Identified resource needs (financial, people, equipment, service site(s))
- Identified localities with a similar targeted need that can improve chances of getting funding approved
- Sources of funding for service/need targets
- ✓ Parameters of the funding instrument
- ✓ Plan for use of the resource
- Identification of proper partner to seek funds/ resources
- ✓ Timeframe that funding is available
- ✓ Timeframe that funding is needed
- ✓ Authority to seek funds
- Approval or denial
- Changes in need or change in availability of funding that are communicated to funding entity

Leveraging Resources through Grant Funding and Management

Output:

- Completed funding/resource application and/or proposal
- ✓ Authorized signature
- ✓ Roles and responsibility for grant accountability
- Revised funding/resource application and/or proposal
- ✓ Routine reports

Outcome:

The identified gap in funding/resources is covered





Characteristics of the New Business Model

1. Trigger

Lack of funding, or lack of appropriate level of funding to support a service identified by Community-based Strategic Planning as a targeted need.

2. Purpose

To attain and ensure that the appropriate level of funding is made available to support a targeted, community-based service.

3. Inputs

- a. Detailed statistics from Needs Assessment and Strategic Planning
- b. Existing funding levels gap in funding
- c. Identified resource needs (financial, people, equipment, service site(s))
- d. Identified localities with a similar targeted need that can improve chances of getting funding approved
- e. Sources of funding for service/need targets
- f. Parameters of the funding instrument
- g. Plan for use of the resource
- h. Identification of proper partner to seek funds/resources
- i. Timeframe that funding is available
- j. Timeframe that funding is needed
- k. Authority to seek funds
- I. Approval or denial
- m. Changes in need or change in availability of funding that are communicated to funding entity

4. Outputs

- a. Completed funding/resource application and/or proposal
- b. Authorized signature
- c. Roles and responsibility for grant accountability
- d. Revised funding/resource application and/or proposal
- e. Routine reports

5. Outcomes

The identified gap in funding/resources is covered

6. Hand-Offs

- a. Grant Opportunity for Governance Review
- b. Grant Writer
- c. Grant Review
- d. Signing Authority
- e. Grant Accountability (fiscal agent?)

7. Cost Drivers and Costs

- a. Time to find funding/resource granting entities
- b. Time to write grants





- c. Administering the grant
- d. Re-adjustments to the grant's provisions rewriting the grant
- e. Collaboration for input to the grant seeking effort
- f. Gathering fiscal accountability information from recipients of the funds
- g. Recipients time in producing financial and progress reports
- h. On-going maintenance around provisions of the grant
- i. Training skills for writing grants

8. Integral Activities

- a. Partnership Agreements and Maintenance
- b. Strategic Planning

9. Peripheral Activities

10. Information Management Support to Achieve Result Desired

- a. Database or clearinghouse support to collect and track grant sources and applications/proposals for grant funded dollars or other resources.
- b. Source must be readily available to all partnership development entities. Information reporting source for the statistical and performance data to support the grant application/proposal.
- c. Automated support to manage the on-going fiscal and maintenance responsibilities for the grant.
- d. Ability to track compliance whether the information is reported by the participants indicating compliance with the provisions of the grant information to be available for grant and partnership management.
- e. Electronic templates for unspecified grant application formats.

11. Changed System to System Communication

a. Benefits and services program systems must be able to report information to a financial management system.

12. Define Performance Standards

- a. Information to support Grants management is available from a single source
- b. Partners are responsible for complying with the provisions of grants and reporting compliance to the accountable entity (fiscal agent?).
- c. Accountable entity (fiscal agent?) is responsible for accounting for proper use of grant funds.
- d. Information available (clearinghouse) is up-to-date and maintained current
- e. Clearinghouse is available via to web
- f. VSSS is responsible for providing technology/communication capability required to support grant seeking and grants management for all partnership arrangements
- g. Grant seeking and grant management is placed with the most appropriate partner to seek the grant

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job





In some localities today there are positions of grant managers, while this may not be widespread there are job specifications that could be mirrored in more local offices.

There is more rationale in the new business model for a job function with this assigned responsibility, either in a single locality, or could be a position shared by several localities.

This role could be assigned to State technical support for areas in the state that do not have access to these skills.

This role could be assumed by a local partner to seek and manage grants.

2. Skills and Background

Grants writing and management background or individuals who are trainable in grants writing and management might be acceptable. Key skills, technology literacy, knowledge of resources, analytical and research skills, writing skill, verbal communication skills, ability to assimilate strategic goals and transfer that knowledge to assess resources and probability of success. Ability to apply business case thinking to build a case for the grant proposal. Must have an understanding of the population to be served. Knowledgeable about community stakeholders. Ability to facilitate collaborative effort to gather information needed for submission of the grant application.

Grants management skills require accounting skill and an understanding of maintaining audit trails, ability to analyze information and data from the partner to translate into report formats; must be able to monitor and do performance management to assure performance prescribed by the grant provisions; must have technology skills to update grant management system(s);

3. High Level Job Description

The individual must be able to work independently without bricks and mortar office location, and is responsible for working with diverse interests to identify potential funding sources to meet targeted needs as defined by the Community-Based Services Strategic Planning effort. The responsible individual will develop proposals on the basis of grant parameters in collaboration with community partners, identifying the appropriate grant submission authority.

The Grants Manager job function is responsible for monitoring compliance with the provisions of the grant funding/resources, and submitting reports based on prescribed timelines to the funding entity. The Grants Manager is responsible for assuring that the grant funds are distributed according to the grant proposal and/or the grant provisions. The individual is responsible for communicating status of the use of grant funds and reporting on the grant to the recipients of the grant. The individual is accountable to the funding entity for assuring that the funds are used according to the provisions of the grant, and for reporting when such funds are not used appropriately.

Identify Policy or Procedural Issues





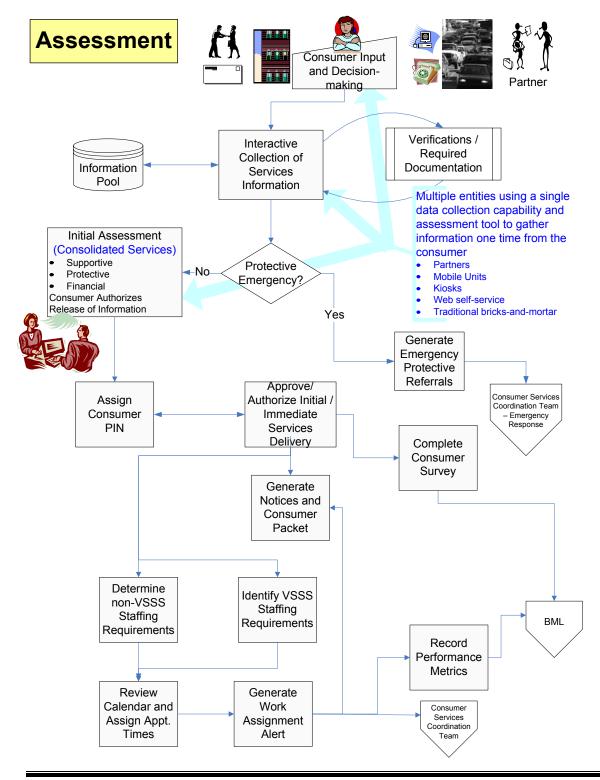
- 1. Lack of broad-based knowledge today of the full range of potential funding streams
- 2. Individual may not be a VSSS employee
- 3. Lack of one system for grants management and reporting
- 4. Educating staff on the skills of grant seeking and grant writing
- 5. One partner, out of compliance, might impact the entire grant
- 6. Roles defined between grant writer and grant manager
- 7. Potential for legal liability
- 8. Ability to collaborate on use of funding





5.5. Consumer Services Business Activity Descriptions

5.5.1. ASSESSMENT





Purpose - Assessment

Evaluate household needs at the first point of contact and deliver the right community-based services for the household at the right time as determined by the consumer and as provided by law

Trigger:

- Any contact for consumer-driven services by any consumer household member via VSSS or a community-based partner
- Any contact from the community or a consumer reporting potential or suspected protective services issue (abuse, neglect, exploitation)

Assessment

Output:

- ✓ Identification of special circumstances
- √ Identification of protective issues
- ✓ Initial assessment and findings indicator
- ✓ Initial financial or service plan in response to the contact
- ✓ Emergency referrals
- ✓ Referrals or alerts for action by service providers
- ✓ Consumer choice as allowed by law
- √ Verification tracking
- Communication and synchronization with other major programmatic or financial systems
- ✓ Services and financial options
- ✓ Maps
- ✓ Appointment schedules
- ✓ Contact names
- Copies of pertinent service delivery documents (SOF, affidavits, court petitions)
- Notices and formal communication (in the language of the consumer)
- ✓ Consumer Survey Resultss
- ✓ Consumer copy of electronic record
- ✓ Authorization for purchase of service
- Performance Metrics by person, by household, by case, by employee, by provider

Input:

- Structured tool for information gathering
- ✓ Household member information
- ✓ Household demographics
- ✓ Household situational information
- ✓ Search & match information
- ✓ Verification information Permanent verifications on file are not required
- Community-based and VSSS current and historical status, services delivered, dates - from and to and case notes
- ✓ Status on compliance related to prior services or benefits
- Incoming referral alerts for VSSS action from Community Based Partners
- Consumer education
- Consumer decisions about services and benefits
- Multi-disciplinary team's universal financial and services plan for the household
- ✓ Consumer PIN (leverage the use of DCSE PIN rather than assign a new one)
- ✓ Approval of service or benefit delivery
- ✓ Any consumer signed agreement, release, authorization to act
- ✓ Imported electronic documents
- ✓ Consumer survey questions

Outcome:

- Shared electronic case record with personal information secured as appropriate by law, but which is available to those providing service based on releases by the consumer.
- ✓ Service delivery for face to face will be available through normal staffing during the normal work hours this may be 12 hours per day it may be Saturdays
- 24 x 7 services are delivered for both self-directed consumer services and emergency services (protective services for children and adults; domestic violence intervention; emergency food stamps for existing consumers; or, other.
- ✓ For self-directed services, the consumer has the option to self-refer for the appropriate VSSS or community-based services; for those services triggered by consumer or non-consumer notices/ complaints of abuse/neglect the referrals for emergency response are automatic.
- Consumers educated in service delivery options across VSSS services and other community-based offerings





Characteristics of the New Business Model

1. Trigger

Any contact (including self-referral/self-assessment) for services by any consumer household member via VSSS or a community-based partner.

Any contact from the community or a consumer reporting potential or suspected protective services issue (abuse, neglect, exploitation).

2. Purpose

Evaluate household needs at the first point of contact and deliver the right community-based services for the household at the right time as determined by the consumer and as provided by law.

3. Inputs

- a. Structured tool for one source of information gathering (multi-media)
- b. Household member information
- c. Household demographics
- d. Household situational information
- e. Search/match information multiple systems
- f. Verification information Permanent verifications on file are not required
- g. Community-based and VSSS current and historical status, services delivered (pool
 of shared information to eliminate duplicate information gathering, duplicate
 services), dates from and to
- h. Status on compliance related to prior services or benefits
- i. Community-based (including VSSS) Case notes
- j. Incoming referral alerts for VSSS action from Community Based Partners
- k. Consumer education
- I. Consumer decisions about services and benefits
- m. Consumer PIN (leverage the use of DCSE PIN rather than assign a new one)
- n. Approval of service or benefit delivery
- o. Any consumer signed agreement, release, authorization to act
- p. Imported electronic documents
- q. Consumer survey questions

h.

4. Outputs

- a. Identification of protective issues
- Identification of special circumstances (learning disabilities, literacy, language, mental or physical disability, teen pregnancy, domestic violence, fraud, violent person)
- c. Emergency referrals
- d. Initial assessment indicator (consumer self-service, protective emergency only at initial presentation, active case with no other needs,
- e. Initial assessment
- f. Initial financial or service plan (immediate or short-term needs and longer term referrals) in response to the contact, with Services and financial options (financial services, medical services, counseling)
- g. Consumer choice as allowed by law





- h. Referrals or alerts for action by service providers internal and external
- i. Verification tracking
- j. Communication and synchronization with other major programmatic or financial systems
- k. Consumer Packet Copies for the consumer only of pertinent service delivery documents (signed [electronically] applications, SOF, initial service plan) & Notices and formal communication (in the language of the consumer) & Brochures or pamphlets & Maps for VSSS locations, and other community partners, Internal and external appointment schedules, & Contact names
- I. Calendared appointments with VSSS and other providers
- m. Authorization for purchase of service
- n. Consumer Survey Responses
- o. Performance Metrics by person, by household, by case, by employee, by provider

C.

5. Outcomes

- a. Shared electronic case record with personal information and special circumstances secured as appropriate by law, but which is available to those providing service based on releases by the consumer, and other special circumstances secured as appropriate by policy, which is not available to those providing services.
- b. Service delivery for face to face will be available through normal staffing during the normal work hours this may be 12 hours per day it may be Saturdays
- c. 24 x 7 services are delivered for both self-directed consumer services and emergency services (protective services for children and adults; domestic violence intervention; emergency food stamps for existing consumers; or, other).
- d. For self-directed services, the consumer has the option to self-refer for the appropriate VSSS or community-based services; for those services triggered by consumer or non-consumer notices/complaints of abuse/neglect, the referrals for emergency response are automatic.
- e. Consumers educated in service delivery options across VSSS services and other community-based offerings

6. Hand-Offs

- a. Face to Face in house
 - Consumer to VSSS Assessor or Community-based Partner or Individual Service delivery staff (who may become a case manager
 - Multi-disciplinary Team
- b. Self-Service
 - From consumer to Community-based Partner or VSSS assessor or Individual Service delivery staff (who may become a case manager)
 - Multi-disciplinary Team
- c. 24 X 7 Voice
 - From consumer to Community-based Partner or VSSS assessor or Individual Service delivery staff (who may become a case manager)





Multi-disciplinary Team

d. Mobile Units

Same pattern as face to face

7. Cost Drivers and Costs

- a. Availability of competencies to staff the front end assessment most highly trained staff
- b. Equipping for mobility (cell phones, wireless computing, mobile printing, vehicles, replacement equipment)
- c. Technology support for data gathering and assessment tool
- d. Web-based technology support for self-service
- e. Telephonic technology support and/or contracts
- f. Training Staff and partners
- g. Business Lab to support business modeling and training
- h. Availability of competencies to staff business lab
- i. Ability to staff 24 x 7 protective response capability
- j. Compensation competitiveness to retain competencies
- k. Consumer education knowledge transfer skills
- I. Cost to maintain partnerships
- m. Cost to manage this model
- n. Different skills/competencies to manage people that may do assessment in a mobile environment
- o. Maintenance of multi-disciplinary teams people working together with the right skills
- p. Enough resources to staff multi-disciplinary teams
- q. Production of consumer packet

8. Integral Activities

- a. Community-based partners (community based partnership development)
- b. Multi-disciplinary teams
- c. Operations management (Business modeling laboratory, integrated policy management)
- d. Strategic Planning
- e. Information and Referral System/Resource
- f. Error Prevention

i

9. Peripheral Activities

- a. Data suppliers outside VSSS (DMV, VEC, SVES, SAVE, etc.)
- b. Non-partner non-profits
- c. Interstate Compact
- d. DCSE
- e. DMAS

10. Information Management Support Necessary to Achieve Result Desired

- a. Single tool to gather information one time from the consumer about the household with availability 24 x 7 with real-time updates.
- b. Must be available from mobile locations, to any partner provider.





- c. Self-service and communication must be available to the consumer in his/her language based on an established state standard.
- d. Notices and official communication must be in easy to understand language.
- e. Ability to interface the existing systems to produce alerts for re-assessment.
- f. Must be secure sufficiently to protect consumer privacy, yet provide the information needed to support service delivery across partners, based on levels of preestablished security.
- g. Ability to pool information on consumer status and histories and allow access across providers.
- h. Structure of the information gathering tool must be designed to allow identification of the highest level immediate-need services and assign them according to location, situation and competencies.
- i. Policy-based rules will be included as needed to support this assessment of need.
- j. Ability to be maintained in an up to date status as policy changes are made.
- k. Easily changed, adaptable.
- I. Ability to produce printed consumer documentation for consumer packet in an office and during mobile interaction with the consumer.
- m. Ability to produce printed partner information (appointments, referrals) if the partner is unable to utilize electronic information
- n. Must be able to perform universal calendaring, scheduling, appointments, and be able to make workload and multi-disciplinary team assignments. Ability to provide performance metrics across customer services tiers, as well as services and financial needs statistics that support forecasting for staffing of the correct competencies and skills by locality.
- o. Must be able to support or be interfaced in an integrated way with the statewide HR database to provide a single repository for HR information maintenance, including reporting relationships, HR historical information by individual, as well as supporting workload management (case assignment based on specific skills such as workload availability, language spoken, location of staff, programmatic or services job assignments, and level of competency [novice vs. journey-level employee)
- p. Ability to cloak specific special circumstances information that cannot be shared with non-VSSS service providers or within VSSS, that cannot be shared with other VSSS employees or that cannot be shared with the consumer
- q. Ability to do a financial services trial eligibility or determination that other referral resources are to be identified; information gathered to be communicated based on consumer choice to the appropriate benefits system.
- r. Ability to accept and track incoming data, verifications, referrals, alerts, and actions to contribute to an electronic record.
- s. Ability to produce maps, calendar appointments, produce appointment notices and contact and provider information (locations, contact individual) for internal and external services.
- t. Ability to track and produce consumer responses to consumer surveys.
- u. There must be sufficient licenses to support the number of end users.

11. Changed System to System Communication

a. There must be connectivity between localities, between State and localities, and over-arching system capability to communicate between systems, and between





- systems and the data gathering tool to support Assessment. Policy must define information that can be shared and what information can update which systems.
- b. There must be a capability to publish alerts that updated information is available to those systems that by policy may only update them.
- c. There is system communication available to allow on-line access to matched databases (DMV, SVES, Vital Records, etc.) and income information.

12. Define Performance Standards

- a. Assessments are performed on the first point of contact.
- b. Assessments may suspend with an emergency protective referral
- c. Initial services and/or referrals are offered to the consumer and others in household the same day (at the end of first contact if possible).
- d. Workload assignments for other services (including financial) are made at the end of the assessment when required.
- e. Verification information that can be obtained from other sources is obtained during the assessment effort...the information is solicited from the consumer as a last resort.
- f. The length of an assessment is as short as possible, based on modeling and testing of various scenarios of consumer circumstances and approaches to the assessment effort
- g. The assessment activity is fully interactive, with the person performing the assessment, the consumer and the data gathering tool information is captured one time, on-line.

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job

Assessment is a role, not a job specification or classification. It is carried out by VSSS's most highly competent and certified staff, with capacity to have a thorough grasp of the linkages between protective, supportive and financial services, as well as the potentially vast array of local partner providers. Any of several classes of employees might perform the assessment activity at the first point of consumer contact when that contact is made in a VSSS office or the community-based provider's location, in the consumer's home or location, or by telephone when supported by a human interface; or might complete the assessment, when required, for consumer self-directed assessments.

The role of the assessor is to educate the consumer on a broad-based set of community-based services available in a specific locality, and that the consumer may make choices, and about how the consumer can be a participant in decision-making on services and benefits that may collectively improve the household's quality of life.

The role, further, is to facilitate connection to the resources by using a structured data gathering and decision-making tool that supports several assessment steps and tasks related to consumer education, including the consumer's choice, information collection, searches, needs identification, services available against identified needs, supportive services and referral for emergency services and/or delivery of expedited/urgent services.





2. Skills and Background

This highly skilled individual must have the ability to demonstrate social skills, including empathy and interest in the consumer's circumstances, ability to work with a diverse population (young and elderly, ethnicities and cultures, traditional and non-traditional households, multi-generational households, disabled population), knowledge of human behavior, and ability to assess potential behavior risks, and ability to hear or elicit the unspoken words or situations, ability to analyze the consumer's individual and household situation, understanding of the full spectrum of VSSS services and benefits (all disciplines) and the range of services available via community-based partnerships as well as non-partner services; skilled in use of technology tools; must have excellent verbal and written communication skills (in some instances this may be in languages other than English); familiarity with ADA, IDEA, Civil Rights, Privacy and Confidentiality, Freedom of Information, and a working knowledge of VSSS policy. Willingness to work in a variety of environments (car, office, consumer location, community-based partner's facility)

3. High Level Job Description

This individual is responsible for using an electronic structured information gathering and decision-making tool to support the assessment activity. The individual will have responsibility for educating the consumer as to their options relative to potential community-based services. The individual will be responsible for evaluating individual and household information and assess individual and household needs across a broad spectrum of circumstances. The individual will identify and recommend, refer and/or deliver the appropriate community-based resources to assist in stabilizing the presenting situation. The individual is also responsible for offering and referring for longer-term community-based services that have the ability to support improvement of the quality of life for the individual and/or household.

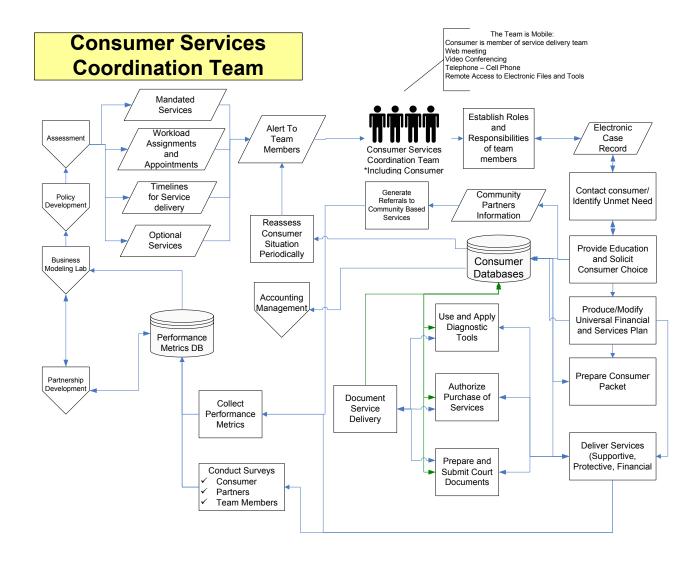
Identify Policy or Procedural Issues

- 1. Identification of individuals in-house with the skills and capability to be re-deployed for this job assignment
- 2. Identification of staff growth and development support services required to fill out any skill deficiency
- 3. Technology support for development and maintenance of the tool
- 4. Single, integrated policy manual
- 5. Business Modeling Laboratory
- 6. Understanding of the differences of this new role as different from the "As Is" job classifications and job assignments
- 7. Non-traditional work hours work hour constructs
- 8. Mobility of workers with all the right tools to support completing work outside an office setting
- 9. The supervision and management role that allows for staff mobility
- 10. An organizational culture shift that integrates and supports mobile staff
- 11. A foundation for community sited assessments and skill levels





5.5.2. Consumer Services Coordination Team Response





Purpose - Consumer Services Coordination Team

Multi-Disciplinary Consultation to develop a universal evaluation by certified staff to fill gaps and eliminate duplication/confusion for the delivery of short or longer term services for the household (family, children, single adults), and to authorize funding for service needs, and provide on-going services as planned.

Consumer

Services

Coordination

Team

Trigger:

An identified need for collaboration (consumer + one or more VSSS and/or community-based partner employees) to structure (build) the required range of services to meet the household's presented situation

Outputs:

- ✓ Identification of additional team members and services Consumer education
- ✓ Consumer service choices
- ✓ Universal and Modified/amended Financial and Services Plan
- ✓ Responsibilities of consumer
- Roles and responsibilities of team members
- ✓ Target dates for completion
- Performance measurement for all team members including consumer
- Consequences for non-performance for all team members including consumer
- Notice of action
- ✓ Mandated services (by law)
- Identification for needs for additional resources to meet gaps in services
- ✓ Referrals to other service providers/action plan
- ✓ Appointments (vendors, team, etc.)
- ✓ Time lines for service delivery
- ✓ Financial services delivered
- Consumer packet (Review dates, Appointment times and meeting places, Check lists for verifications, Copy of consumer case file, Maps, Statement of facts, Brochures (not already given), List of community partners, Team leader's contact information as primary contact for consumer, Team members' contact information)
- Recommendation to court system by way of the plan for children
- ✓ Updates to data pool of the history of the household
- ✓ Potential identification of new resources
- Potential increased support payments for the household
- ✓ Authorization for funding and purchase of service
- ✓ Laboratory for testing
- ✓ Potential referral to Error Prevention
- ✓ Case documentation
- ✓ Consumer satisfaction survey
- Team member satisfaction survey
- ✓ Community resource development
- Best practices to improve service delivery sent to Business Modeling
- Case reassessment at review dates; adjusted service plan

Input

- Electronic data gathered during initial contact (household demographic information, verifications, browsing from other systems, services historical data, emergency eligibility documentation, etc.)
- ✓ Electronic historical file
- Referral from Assessment related to consumer request for services and/or consultation
- Identification and coordination of initial diverse team members
- ✓ Roles and Responsibilities of team members
- ✓ Unmet service needs
- Single policy manual
- Consumer input
- Initial Financial and Services Plan with electronic authorization by consumer requesting services
 - -Action Plan (initial recommendations, etc.)
 - -Service History
 - -Consumer dynamics
 - -Reports from previous Case Manager (supporting documents, psychological, etc.)
 - -Releases of Information
 - -Protective services request (Adult or children)
 - -Emergency removal of a child
 - -Call regarding a medical emergency (Adult or child)
 - -Referrals from non-community partners
- Community partners and/or community resource information
- Information sharing from partners (i.e. school, courts, health department and etc.)
 - Information brokers
- ✓ Diagnostic tools required in code for children and adults
- Consumer education
- ✓ Results or outputs from the business modeling lab
- Best practices models Business modeling laboratory
 Case monitoring evaluation (service delivery) by local agency Manager
- Case monitoring information from Error Prevention electronic

Outcome:

The Consumer Services Coordination Team creates a primary point of contact for multiple services from a wide-base of knowledge and skills, providing continuity of streamlined and coordinated services delivery throughout the consumer's service-delivery life-cycle. The Consumer Services Coordination Team assures consistency of service delivery approach, moderation of individual bias by teaming service-delivery, delivering a consistent message from VSSS to consumer. An ancillary and important outcome is provision of an on-going learning environment for staff that continuously improves the quality of service delivery.





Characteristics of the New Business Model

1. Trigger

An identified need for collaboration (consumer + one or more VSSS and/or community-based partner employees) to structure (build) the required range of services to meet the household's presented situation

2. Purpose

Consumer Services Consultation to develop a universal evaluation by certified staff to fill gaps and eliminate duplication/confusion for the delivery of short or longer term services for the household (family, children, single adults), and to authorize funding for service needs, and provide on-going services as planned.

3. Inputs

- a. Electronic data gathered during initial contact (household demographic information, verifications, browsing from other systems, services historical data, emergency eligibility documentation, etc.)
- b. Electronic historical file
- c. Referral from Assessment related to consumer request for services and/or consultation
- d. Identification and coordination of initial diverse team members
- e. Roles and Responsibilities of team members
- f. Unmet service needs
- g. Single policy manual
- h. Consumer input
- i. Initial Financial and Services Plan with electronic authorization by consumer requesting services
 - Action Plan (initial recommendations, etc.)
 - Service History
 - Consumer dynamics
 - Reports from previous Case Manager (supporting documents, psychological, etc.)
 - Releases of Information
 - Protective services request (Adult or children)
 - Emergency removal of a child
 - Call regarding a medical emergency (Adult or child)
 - Referrals from non-community partners
- j. Community partners and/or community resource information
- k. Information sharing from partners (i.e. school, courts, health department and etc.)
- I. Information brokers
- m. Diagnostic tools required in code for children and adults
- n. Consumer education
- o. Results or outputs from the business modeling lab
- p. Best practices models Business modeling laboratory
- q. Case monitoring evaluation (service delivery) by local agency Manager
- r. Case monitoring information from Error Prevention electronic

4. Outputs





- a. Identification of additional team members and services
- b. Consumer education
- c. Consumer service choices
- d. Universal and Modified/amended Financial and Services Plan
 - Responsibilities of consumer
 - Roles and responsibilities of team members
 - Target dates for completion
 - Performance measurement for all team members including consumer
 - Consequences for non-performance for all team members including consumer
 - Notice of action
- e. Mandated services (by law)
- f. Identification of needs for additional resources to meet gaps in services
- g. Referrals to other service providers/action plan
- h. Appointments (vendors, team, etc.)
- i. Time lines for service delivery
- i. Financial services delivered
- k. Consumer packet
 - Review dates
 - Appointment times and meeting places
 - · Check lists for verifications
 - Copy of consumer case file
 - Maps
 - Statement of facts
 - Brochures (not already given)
 - List of community partners
 - Team leader's contact information as primary contact for consumer
 - Team members' contact information
- I. Recommendation to court system by way of the plan for children
- m. Updates to data pool of the history of the household
- n. Potential identification of new resources
- o. Potential increased support payments for the household
- p. Authorization for funding and purchase of service
- q. Laboratory for testing
- r. Potential referral to Error Prevention
- s. Case documentation
- t. Consumer satisfaction survey
- u. Team member satisfaction survey
- v. Community resource development
- w. Best practices to improve service delivery sent to Business Modeling
- x. Case reassessment at review dates; adjusted service plan

5. Outcomes

The Consumer Services Coordination Team creates a primary point of contact for multiple services from a wide-base of knowledge and skills, providing continuity of streamlined and coordinated services delivery throughout the consumer's service-delivery life-cycle. The Consumer Services Coordination Team assures consistency of





service delivery approach, moderation of individual bias by teaming service-delivery, delivering a consistent message from VSSS to consumer. An ancillary and important outcome is provision of an on-going learning environment for staff that continuously improves the quality of service delivery.

6. Hand-Offs

- a. Electronic hand-off from initial assessor to Team
- b. Team to service and/or fiscal providers or non-partners
- c. Team to fiscal services for issuance of an EBT vault card
- d. There are no other hand-offs because the team members are authorized to approve financial and service payments for consumer services.

7. Cost Drivers and Costs

- a. Mobility and equipment to support remote work sites
- b. Technology
 - Calendaring tool
 - Web meeting
 - Video conferencing
 - Electronic files
 - Assessment tool
 - Maintaining the I&R system
- c. Certification of staff
- d. Staff time (VSSS or partners)
- e. Compensation for skilled staff
- f. Triggers to ensure equipment is regularly reassessed for capability and effectiveness
- g. Staff time, travel time, co-location, coordination among multiple locations and jurisdiction
- h. Web-based conferencing
- i. Initial and on-going training for certification
- j. Funding of services
- k. Retention of trained and certified employees; staff growth and development
- I. IT enhancements and changes:
- m. Single data gathering tool with assessment capability
- n. Systems changed to meet policy requirements re-engineered
- o. Electronic case files
- p. Staff time for CSCT meetings
- q. Transition costs from As Is to To Be
- r. Reorganizing internal structure role changes, management changes, including satellite offices
- s. Culture change
- t. Brochures
- u. Negotiating and re-negotiating off-site contracts

8. Integral Activities

- a. Community Education and Outreach
- b. Controls and Feedback
- c. Accounting Management





- d. Business Modeling Laboratory
 - Information production, dissemination and sharing
 - Policy Development
 - Staff Development and Growth
 - HR
- e. Assessment and Universal Financial and Services Plan
- f. Partnership Development
- g. Budget Planning
- h. State and Local strategic plan
- i. Enterprise change management

9. Peripheral Activities

- a. External service providers
- b. Court, school, employers, child care, etc.
- c. Strategic planning
- d. DCSE
- e. Data suppliers outside VSSS
- f. For profit providers
- g. CSA
- h. DMAS
- i. JP Morgan
- i. VEC
- k. DRS

10. Information Management Support Necessary to Achieve Result Desired

- a. Web-based, integrated point of data collection (assessment, electronic case file, etc.)
- b. Electronic assessment capability
- c. Calendaring capability
- d. Mobile equipment and accessibility
- e. Interfacing ability with internal and external systems
- f. Secure with administration of appropriate security profiles
- g. Mobile capabilities
- h. Community-based services Information and Resource Data Base
- i. Team Assignments based on skills, abilities, specialties, and workload availability
- i. Automated paperless work methods
- k. The ability to generate paper notices for consumer information in their language
- I. All team members need to be able to communicate with each other in a variety of media, universal calendaring, internal and external electronic file sharing with appropriate security.

11. Changed System to System Communication

j. Web-based, interfacing ability across multiple systems to share information between VSSS systems, other agencies, and partners

12. Define Performance Standards

- a. Timely and efficient response to protective/emergency issues
- b. Immediate assignment if on-going services are required to the CSCT





- Team will meet within 48 hours or at the pre-scheduled time set by the calendaring tool with consumer agreement
- Team will define each member's roles and responsibilities and record in the case file as part of the service plan
- Target dates for completion will be set and consequences established for all team members
- Consumer and team members will complete a satisfaction survey at 3 months for review and analysis; routine evaluation will continue throughout the life cycle of the case
- c. The service plan outcomes are met
- d. The requirements of the Program Improvement Plan are met
- e. Meeting the requirements of the federal Corrective Action Plan
- f. Child support dollars collected on behalf of children related to child support are increased
- g. The performance standards as defined in the Business Modeling Laboratory and identified by benchmarking efforts are met
 - Number of expected referrals
 - Number of staff to consumers
 - Number of completed and/or successful units of service
 - Team and Partnership effectiveness
 - Consumer satisfaction
 - 100% consumer feedback
 - Recidivism rate
 - Benchmark performance against other like partnerships
 - Timeliness of response to consumer referrals
 - # of consumer contacts required to deliver a successful completed service
 - Timeliness of response to partners (VSSS or other); use of shared information resources
 - Cost to completion of a unit of service
 - Cost to completion of a successful unit of service
 - Maintenance of core competencies (CEUs, licensing, etc.)
 - Measurement of stability of consumer service delivery staff
 - Reduction in duplicative services
- h. Community quality of life, as indicated by the indices established during Community-based Services Strategic Planning, is improved through community-based services
- i. Salaries are commensurate with certifications

Human Resource Requirements for Critical New or Changed Jobs

1. Critical New or Changed Job

This isn't a new job but is a new role assigned across one or more individuals representing any of the service delivery disciplines required to meet the short and longer-term needs of the consumer. It re-aligns and coordinates job assignments, roles, skills, abilities, and specialties between VSSS and Partners. Jobs will need to be redefined with different job specifications. Employees will be expected to expand their skills, knowledge and abilities to meet the New Business Model. This will





include technology skills, IT systems skills, policy knowledge, and partnering skills. There will be a shift in thinking, which places the consumer in the forefront of all service delivery planning and service delivery activity, which places a high value on consumer choice and utilized community partnerships to maximize resources. There will be changes in security clearance profiles (access level) for all enterprise employees.

2. Skills and Background

Ability to identify emergency needs and recommend or impose mandated services as required; ability to identify services factors and coordinate services across VSSS and non-VSSS resources; ability to educate the consumer as to participatory and collaborative decision-making. Must be cooperative, a problem solver with good communication skills (non-verbal and verbal) inclusive of listening, assimilation of information, conduct appreciative inquiry, and providing appropriate feedback and/or action), inclination toward pro-social behavior, demonstrate self discipline to be goaloriented, ability to work in a team of internal and external community-based partners in coordinated and collaborative efforts, with a demonstrated sense of autonomy from the "office" (able to work remotely without "over the shoulder" supervision), have a sense of community, and be media literate. Individuals must have strong organizational, analytical and assessment skills, with the ability to think in a broad-based manner across service needs. VSSS team members must have the ability to comprehend and apply policy to household circumstances across a spectrum of services (financial, protective and supportive). They must be able to work with diverse populations, have knowledge of human behavior and have the ability to hear or elicit unspoken words or situations. They must have the ability to interview and synthesize information into understandable formats, analyze problems and devise solutions that can be formatted into a workable Universal Financial and Services Plan. VSSS team members must have technology skills and the ability to work on VSSS systems. These individuals must be willing to work in a changing environment and be willing to self-evaluate and self-improve. They must be willing to participate in continuing education opportunities to increase their skills and knowledge levels in all areas. Special skills such as a second language, grant writing, speech writing, and mediation are sought and rewarded. Individuals must be willing to participate in educational opportunities, be open to change, and willing to work a variety of hours to meet consumer and agency needs.

3. High Level Job Description

The individuals working in Consumer Services Coordination Teams must have a good understanding of social justice, as they are responsible for delivery of *appropriate* community-based services for individual or household needs/situations. This individual is responsible fore functioning as part of a multi-disciplinary team. The individuals may alternately be responsible for serving as lead Case Manager in the coordination and collaboration of service delivery. The individual is responsible, within the Team, as acting as an advocate for individuals and/or households. Individuals may be responsible for coordinating supportive services (transportation, etc). It should be noted that coordinating supportive services may be deployed to other non-CSCT staff in some localities.





Individual Team members are responsible for evaluating the effectiveness of services to the consumer and making adjustments in the Service Plan as necessary.

CSCT Business Modeling and Testing Options

It is recommended that the Business Modeling Laboratory model and test any of several role and responsibility scenarios as to effective relationships between the CSCT and the Assessor. Local flexibility is urged within the constraints of cost and benefit. For example:

- The Assessor convenes the CSCT, leads the team, and serves in the Case Manager role.
- Assessor attends first meeting of the CSCT and passes the case off to the team or pre-assigned team leader/case manager.
- Assessor as stand alone position
- Assessor as permanent part of team for the duration of the life cycle of the case
- Supervisors acting as a neutral voice for the CSCT
- Methods of collaboration on case management (between partners)

Identify Policy or Procedural Issues

- 1. Changing the cultural aspects of VSSS and encouraging staff understanding of the "New and Improved" World
 - Self-assessment
 - Self-education/improvement
 - Teaming on every case
 - Change in roles
 - Defined roles and responsibilities
 - Co-location
 - Business modeling laboratory
 - Shift in management roles and responsibilities
 - Change in worker identity
 - Employee recognition and rewards for special and improved skills
 - Development of technology skills
 - Mobility

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- 2. Necessity of CSCT handling multiple integrated services
- 3. Development of leadership skills
- 4. Development of curriculum for certification
- 5. Development and maintenance of the single data gathering tool with assessment capability
- 6. Development and maintenance of the single integrated policy manual
- 7. Partnership Development and Community Education & Outreach with VSSS as a coordinating entity
- 8. Establishing the business modeling laboratories
- 9. Integrating calendaring
- 10. Develop and identify flexible approaches which will achieve the same outcomes





- 11. Mobility of workforce, including co-location
- 12. Developing an information sharing structure that will accommodate legal requirements (CPS confidentiality, privacy, etc.)





5.6. Non-Core Activities and Operational Options

The BPR Team evaluated the core functions and business activities of the To Be business model. They identified that within the reengineered business model's framework there is significant opportunity for State and/or local control over operational options. All of the following were considered non-core activities. Because these are non-core activities, they can be contracted out to private vendors or to local community partners.

5.6.1. STATEWIDE ACTIVITIES

- Business Modeling Laboratory
- Research & Development
- I.T
- Education (Staff Growth and Development)
- General Services
- Benchmarking & Best Practices
- Strategic Planning Controls and Feedback
- Project planning and management
- Human Resources Management
- QA
- Communications
- Accounting Management
- Fraud
- Appeals

5.6.2. LOCAL ACTIVITIES

- Data entry for the assessment data gathering
- Assessment
- Data entry for information gathering for Universal Financial and Service Plan
- Consumer Services Coordination Team Response
- Outreach data gathering
- Some services such as Financial Services, child care, transportation, employment services, Protective Services
- Business Case Analysis
- Grant Funding





5.7. BENEFITS, CHALLENGES AND BARRIERS TO THE NEW MODEL

The BPR Team recognizes that the new model provides both benefits and challenges in implementation. It should be noted that while challenges will be present in implementing the new model, the Team could identify no disadvantages. In addition, the Team spent time researching current statutes and regulations to identify statutory or regulatory barriers. The following discussion outlines the findings of the BPR Team.

5.7.1. BENEFITS

The benefits are many in the To Be business model. Of particular importance to the enterprise-wide organization, there will be on-going measurement and evaluation of performance and outcomes. There will be on-going re-evaluation of whether performance and/or performance measures are adequate. There is considerable focus in the As Is environment on the lack of human resources to cover the workload. The To Be business model dramatically compresses workload, as information is only handled one time. A single source for consumer information provides immediate, shared, up to date information. The HR budget is further maximized by several factors:

- Eliminating paper and redundancy
- Consolidating job functions to:
 - Increase the number of staff available to cover the spectrum of work activities required to manage operations and deliver services and benefits
 - Reduce handoffs
 - Reduce negative impacts on the consumer
 - Better measure performance and outcomes
 - Create more equality among service providers
 - Eliminate artificial workload

The following points were developed by the BPR Team to detail the benefits of the To Be business model

5.7.1.1. Benefits to Consumers

- 24/7 availability
- Single point of contact—information given once and shared
- Consistency
- Being assessed for all available services
- Ownership of their information
- Educated consumer choice
- Social Justice
- Quicker delivery of service—right service at the right time
- Simplicity of services (services available on EBT, EFT, direct deposit)
- Prevention
- Better quality of life
- Flexibility
- Self-directed service
- Less trips to VSSS





- In-home service
- More active role—positively contributing to community
- Gaps in services will be minimized

5.7.1.2. Benefits to Employees:

- Trusting environment
- Accountability
- Flexibility—hours, workplace, job activities
- Mobility
- Less paper—automated systems, electronic case files
- Time to spend focusing on the consumer
- Staff growth and development is encouraged
- Focusing on positive interactions with the consumer
- Eliminating duplications and redundancies
- Improved communication—better informed about the enterprise
- Transparency— Automated information shared on a need to know basis
- Compensation for performance and acquiring new skills
- · Clearly defined roles and responsibilities
- Increased job satisfaction
- Potential for increased input in regards to policy development, operational management
- Support
- More effective use of time
- Valued
- Respect
- Tools and resources to do your job
- Single policy manual—user friendly

5.7.1.3. Benefits to Community-Based Partners

- Accountability
- Involvement
- Eliminating duplicative services—cost savings
- Increased funding
- Steady flow of business
- More flexible flow of information
- Understanding of VSSS
- Assessment tool
- Common missions
- Share staff growth and development opportunities
- Co-location
- Access to increased services
- Improved communication
- Statewide shared I & R database





5.7.1.4. Benefits to Paid Providers

- Electronic invoicing and payment
- Accountability
- More rapid payment
- Payments are traceable
- Statewide performance based contracts/agreements
- Statewide shared I & R database
- Electronic information sharing and reports
- Access to data on service gaps and community needs
- Access consumer surveys for their services

5.7.1.5. Benefits to Other State and Local Partners

- Flexible flow of information
- Shared visions
- Better communication to reduce duplication and redundancies
- Shared functions
- Co-location
- Improved compliance
- Cost savings through error reduction

5.7.1.6. Benefits to Taxpayer/Community:

- Improved community quality of life
- · Better quality of service for dollars expended
- Fiscal accountability
- Collection of community demographic information
- Education
- Transparency
- Business case analysis
- Performance standards
- Increase available services
- Consumer confidence
- Collaborative efforts between VSSS and community partners
- Knowledge of what is going on in the community

5.7.2. CHALLENGES

The cultural challenge is enormous, in spite of the benefits. The challenges are not within the community, or with consumers or business partners; they are within VSSS. People are their jobs, or as the jobs have been defined during their tenure. There is ownership in the "right" way to deliver public social services. The few bullets below identify the breadth of challenges ahead:

- Tradition and relationships between VDSS and localities
- Historically assumed levels of responsibility at VDSS
- · Perceptions of separation of purpose between State and localities
- Ownership in programmatic stovepipes at both State and local levels





- Ownership in hard fought job classes based on specialization
- System implementation distrust
- System vendors that enjoy a share of market at the local level
- System vendors that want to sell solutions
- Searches for silver bullets
- Change must be managed

5.7.3. BARRIERS

5.7.3.1. Strategic Planning and Management

5.7.3.1.1. Governmental relationships

Potential relationship barriers that must be corrected were identified:

- A culture of little or no collaboration
- Lack of confidence in a shared vision
- Competing agendas and strategic plans
- An ineffective communication mechanism between VDSS and the local governments
- Reactive mode to our governmental partners
- Lack of comprehensive, real-time data that would allow VSSS to "sell" itself

Components of the To Be business model, when implemented, will remove or mitigate these barriers.

5.7.3.1.2. Enterprise Change Management

The concept of strategically managing enterprise-wide change is not in VSSS culture. In order to overcome this barrier, executive level leadership must create sponsorship around a clearly stated vision with defined goals and objectives for measuring change.

5.7.3.1.3. Budget planning & resource allocation

VSSS culture related to budgeting is that it is an end unto itself...it drives VSSS business, rather than the consumers' needs driving the budget planning effort. Because VSSS has had no means of determining costs, developing business cases, or providing performance metrics, there has been no ability to forecast budgeted needs. The BPR effort was largely focused on reversing this situation. A statewide financial system, supported by business case analysis and performance metrics will provide the opportunity for strategically planning budgets and allocating resources.

5.7.3.1.4. Controls and feedback

VSSS does not have enterprise-wide experience with clearly defined accountability and standardized performance measures, where roles and responsibilities are clearly and consistently defined across the enterprise, and where structured consumer and employee feedback are used to make adjustments. Establishment of universally applied performance measures with structure feedback mechanisms, and with the ready availability of statewide information on costs, performance, finances and statistics, will erode this barrier over time.





Monitoring and Review

Monitoring and review activities in the current environment are based on Federal program minimum standards, and they do not formally exist across all programs. VSSS organizational behavior is one of re-activity rather than pro-activity. There is no expectation of standards or consequences for agency performance. Availability of integrated data from multiple sources will provide benchmarks of performance throughout the enterprise, identifying whether the integrity of VSSS controls and feedback is maintained or requires adjustment for higher levels of performance.

5.7.3.2. Operations Management

5.7.3.2.1. Business Modeling Laboratory

VSSS lack of a collaborative model to benchmark and anticipate and prepare for change based on best practices and business case analysis creates more of a barrier to the success of this component of the To Be business model than the perceived lack of skills the business modeling laboratory will require. The analytical skills required are the skills VSSS should have in place in the current environment, but may not be utilizing fully. The business modeling laboratory is intended to include integrated policy and operational modalities and institutionalizes a collaborative approach based on established business objectives. This component of the To Be business model will erode the barrier based on its own functional contribution to the enterprise.

5.7.3.2.2. Policy development

Tradition, stovepipes of knowledge and competition for time between the day to day work commitments and the To Be business model constitute the most serious barrier to a single unified and integrated policy development approach. Integration of Error Prevention information (integrated data from QA, Fraud and Appeals findings) will assure that policy development is proactive. Because this is a critical element of the Consumer Services Core Function, Enterprise Change Management leadership is required to remove this barrier and establish the framework for prioritizing work efforts

5.7.3.2.3. Project planning and management

VSSS has no experience with project planning and management outside of the I.T. environment. The resources, including personnel, skills, knowledge, certification, and commitment must be built to establish this framework for managing to timelines, due dates, and expected outcomes in order to implement the To Be business model over time.

5.7.3.2.4. Human resource management

HR, as a standalone function, has developed a gatekeeper culture in the current environment. While HR has worked well in assuring diversity in the work force, it has not been a collaborator in meeting organizational goals for higher levels of performance or a supplier of personnel with advanced skill sets (analysis, technology, business management). The To Be business model requires that HR be able to dynamically meet VSSS's human resources needs over time. It is critical that new job classes and new job descriptions are not allowed to be developed in isolation from the requirements of the To Be business model. HR must be an integrated element of the business modeling laboratory to eliminate this potential barrier to success. A new HR system must follow the BPR principles of handling





and entering information one time, and should be integrated with consumer services information systems to create greater value for localities than a standalone system.

5.7.3.2.5. Staff growth and development

The most serious barrier to success of this element of the To Be business model is VSSS long-term contract and long-term relationship with VISSTA for "training." The To Be business model calls for a more aggressive staff growth and development element geared toward developing skills and competencies required for the new business activities. The existing mechanism has no curriculum for administrative and management staff; no performance standards to measure quality; some trainers have no background/experience with the current VSSS world; and, training methods are not real-world. Curriculums are stove-piped and will require re-thinking and complete redesign based on premises in the To Be business model.

5.7.3.2.6. Information production, dissemination & sharing

In the current environment, each of the elements of this component of the To Be business model is a stovepipe with perceived differences in mission and controls. Each of these elements currently "drive" organizational performance or lack thereof, without accountability for the costs they impose. The To Be business model holds information and its sources, when integrated, in high regard for its ability to continuously contribute to improvement in performance. Inclusion of this business activity within the business modeling laboratory will erode this identified barrier by assuring that the elements are focused on a unified mission and expected outcomes.

5.7.3.2.7. General Services

Perceived cost of goods and services to support the new business model has potential to be a significant barrier in localities that historically have not had resources of more affluent localities. General Services, and its ability to negotiate for enterprise-wide needs, can support transition to the new business model through economies of scale.

5.7.3.2.8. Accounting Management

The State has not assumed responsibility for assuring a single auditable statewide financial system; therefore, localities now have sunk costs in financial systems. Localities have strong loyalties to vendors of their financial management systems. Vendors of financial systems owned by localities may constitute a lobby against a single statewide financial system. This could be a significant barrier if VSSS leadership and localities cannot agree that the benefits of a single financial management system outweigh the costs of the status quo. Due diligence is needed. Examining other State experiences (Colorado CFMS, for example), performing cost-benefit analysis, and developing a business case will remove this barrier.

5.7.3.3. Partnership Development

As a formal undertaking, this is a new facet of VSSS business. That fact alone has potential to be a barrier. VSSS leadership and localities must agree that community-based services to abate targeted indices of well-being have a greater value than VSSS alone can provide in order to remove this barrier. Barriers identified by business activity are provided below.





These are both culture and skill-related barriers. Therefore, capacity must be built to remove the barriers.

5.7.3.3.1. Community Education and Outreach

Current outreach approaches are specialized across program lines—no standards for performance.

5.7.3.3.2. Community Needs Assessment

There is no consolidated effort to identify indices of well-being within many communities.

5.7.3.3.3. Community-based Services Strategic Planning

There has been no community-based strategic planning effort for well-being in most communities.

Resource Identification and Development

Resource identification in the current environment occurs as a reactive activity versus a proactive effort, and it seldom targets specific indices or crosses program lines—resulting in duplication of efforts. There is no highly developed Information and Referral system to provide day to day support to service providers.

5.7.3.3.4. Partnership Agreements and Maintenance

In many communities, there are perceptions of competitive priorities among service providers—mission, resources, and population. Even informal agreements are limited and vary by locality. Statewide partnerships are limited and not broadly communicated. Within VSSS this is generally "other duties as assigned" and results in lack of effort to maintain the partnerships.

5.7.3.3.5. Leveraging Resources and Grant Funding

While the State office has provided limited training in this area, skills across localities remain limited. Sources of grant funding are not well developed or well understood by localities.

5.7.3.4. Consumer Services

There are several potential barriers to this component of the To Be business model. Culture and tradition are the strongest. Program stovepipes, stovepipe budgeting, and stovepipe local procedures must be overcome for the To Be business model to be successful.

5.7.3.4.1. Assessment

Perceptions that lower skilled consumer contact personnel can "screen" for needs must be overcome (screening does not exist in the To Be business model). The skill sets required for this highly skilled first point of consumer contact will require re-tooling of those staff with capacity to grow and develop for this highly integrated job assignment. The existing culture and program traditions embody all of the following, with potential to institutionalize barriers, unless change and outcomes are actively managed.

• Because policy and procedure is not integrated, repeated interviews with the consumer, repeated information gathering, repeated same data entry across





- multiple systems, repeated requests for verifications from consumer, repeated paper case files, repeated visits from the consumer are all considered "normal"
- Today we are specialized and provide services to the individual only within our specialty
- Because of program specialization, VSSS workers are not encouraged (lack of knowledge, direction) to educate the consumer about all available services employees are actually discouraged to learn about other services within the agency in some localities
- There is typically only one entry point for the consumer to receive services—face to face in the office, with few exceptions, this is repeated across all disciplines
- Current application process (paper and on-line) does not allow the consumer to complete the application for more than one service or without a face to face or providing a signature on paper
- Application process discourages the consumer from obtaining a variety of services to meet their needs, which is also supported by current culture (i.e. FAMIS application does not gather all necessary information for Food Stamps)
- Communication within the agency, among other service providers, community resources is stifled by the specialty culture and lack of systems interface
- Co-location is not a standard
- Screening and/or services assessments are carried out within each individual program with very little communication between programs and providers, and frequently not documented
- There is no concept of a "universal assessment"
- There is lack of automation across disciplines
- The way VSSS "trains" today supports the stovepipe culture
- Services from VSSS and community resources is duplicated
- Communication with the Home office is impeded by the current organizational structure (lack of clarity in roles and responsibilities) in getting policy clarification and guidance (i.e. not knowing who to call)

5.7.3.4.2. Consumer Services Coordination Team Response

Barriers to a successful transition to use of Consumer Services Coordination Teams include the same issues that may be experienced under Assessment. There are, however, additional issues that may confront this business activity in the To Be business model.

- Intake and case management, which do not exist separately in the To Be business model, are traditions in public human services and are specialized along the stove-pipe programs
- Stovepipe programs and specialties provide for delivery of services to a "case" rather than attempting to meet needs of individuals within the household
- Co-location/teaming exists in some agencies but does not provide the full scope of services or encourage communication with community partners and across programs
- Stand-alone service delivery is promoted by the stovepipe culture
- Paper driven processes impede direct service delivery of multi-disciplinary services to consumers and consumer households
- · Consumer education is not a standard activity





- Communication within the agency, among other service providers, community resources is stifled by the specialty culture and lack of systems interface
- Purchasing and authorization of benefits/services and the number of handoffs for approval and processing are varied from agency to agency. There is ownership in these established procedures
- There is no standard for conflict resolution in the "As-Is"

There is no concept of one team in the "As-Is," with responsibility to identify needs for the whole household and with delegation to authorize services to meet those needs. A need for an extreme level of specialized job assignments across programs can result, in today's environment, in the consumer having five to seven "workers" involved in their household's situation, each responsible for only a segment of the problem, and with little or no perceived need for knowledge of the others. This operational reality in today's environment that staff must specialize to this level, irrespective of the impact on the consumer, may be the most difficult barrier to overcome.

5.7.3.5. Cost as a Short-Term or Long-Term Issue

The BPR Team had direction on this issue through establishment by the Goal 3 BPR Steering Committee on business objectives related to cost. Paraphrased, these were:

- Short-term cost shifts should not pose a barrier to reengineering recommendations.
- Cost should be a net-zero over the long-term.
- Cost must be commensurate with value.

Based on the BPR Team's investigation of the As Is business environment, the long-term benefits from re-engineering have the potential to be enormous at both the State and local levels. The As Is business environment comes at an extraordinarily high cost.

Whether State or local assignments, many jobs were completed two times by two different individuals. Some jobs were completed as many as four times with different staff. Some jobs done by one individual were completed in four different media. Some jobs were completed by one person on-line, then on paper, then by another on paper, then entered into a system during a fourth handling.

For each of the three services included in the To Be model at the local level, anywhere from two to seven employees may be assigned to work with an individual household at a given point in time. For the information gathering task alone, there could be anywhere from three to seven individuals all collecting the same pieces of information from the consumer, and then from other sources to verify consumer supplied information. That means, often, that each of these maintains a paper file, which entails significant management costs.

While the BPR findings are not presented as a mandatory "package," clearly the greatest benefits come from the overhaul of the governance process itself...not just from the technology tools. For instance, while an electronic case file by itself sounds like a problem-solver, the reality is, if this "solution" is overlaid upon the existing As Is governance approach which isolates services and doesn't share information easily between State and local functions, or across localities, it will not have a value commensurate with its cost. The





limited BPR technology recommendations coupled with the To Be business model have potential to return value well beyond their cost.

The State and local agencies have significant opportunities to begin at the most fundamental level to begin gleaning benefits. Simply re-tooling systems skills and building computer literacy, broadly, then applying leadership to optimize use of the tools that are in place today will return amazing rewards. That low-tech effort will set in place a culture that allows other low-tech shifts to begin. For example, it is assumed that it may be identified that many of the paper forms in use in today's environment are not needed because system functionality has replaced their need.

Cost is managed in a reengineering effort through leadership, one step at a time. The VSSS reengineering results will yield long-term benefits based on value for the organization, its employees, its consumer and taxpayers alike if its leadership unites behind a common vision and agreement that the status quo is no longer acceptable.

5.7.4. ADVANTAGES

The timing for this reengineering effort is excellent. VSSS has initiated a collaborative strategic planning effort and is seeking to restore trust and cooperation throughout the State and local partnership.

Fifty-seven percent of VSSS personnel are eligible for retirement by 2010. Personnel attrition provides an avenue of meeting the need for the highly skilled employees required by the new business model. Individuals who possess these skills generally need to obtain personal reward from challenging employment and cannot thrive in an environment that requires the repetitive, redundant and duplicative paper-based, labor intensive business methods currently in place.

People who live and play differently outside of VSSS recognize that the old ways are no longer effective. This provides an opportunity for building a constituency for change that is broader than an organization would typically find. Further, this outflow affords VSSS many opportunities for deciding how best to use this attrition tool, as the need exists for localities to reshape staffing, to provide multi-disciplinary community-based services to meet household needs.

Technology is simpler at the beginning of the 21st Century. Constraints on development of tools are not as severe as they were in the 1990s. Many of the change management approaches recommended over the last two decades are becoming mainstream, including Enterprise Change Management concepts and business modeling laboratories. Use of the web to give instant access to staff for modeling new work behaviors and competency building provides a low cost, low impact environment for shifting the culture of the entire organization.

There is an attractiveness today for accountability and performance measurement and in helping employees feel more than just a cog in a wheel. People want to see their accomplishments...to see positive results from a day's work.





6. DISCUSSION OF ORGANIZATIONAL AND STAFFING IMPACTS

6.1. CHANGES TO SERVICE DELIVERY

In the To Be business model, there is a culture of understanding that the consumer's needs are constantly changing and employees at all levels and across all disciplines are focused on and are empowered to recommend and make changes in consumer services standards. Job specifications must define competencies that support this culture.

Valued skills include:

- Ability to analyze and make recommendations for changes in the standards based on data
- Communicate as part of a inter-disciplinary team
- Demonstrate initiative in taking the lead role for a job responsibility
- Ability and willingness to measure and correct performance
- Willingness to be flexible in responding to on-going change
- Ability to identify deficiencies in service delivery baselines
- Ability to develop new mechanisms for providing community-based services
- Capability to research and seek new funding mechanisms to support communitybased services

Updated job specifications for employees have a customer service focus, irrespective of job assignment. Employees at all levels must be willing to be measured and be willing to correct performance. Employees will be capable of participating and giving input to the measurement effort. A strong focus will be placed on communication and technology skills to continually improve the household's and community's interaction with VSSS.

6.1.1. THE BUSINESS CULTURE

Consumer needs and consumer outcomes are drivers in the To Be business model. Attracting and retaining a highly skilled workforce underpins the business culture. New job classes and new job specifications will be based entirely on the expectations for quality service delivery and high performance in the new business model. Individuals with competencies for the new business model will be aggressively recruited. Existing staff will be provided information on the job competencies required in the new business model and will be provided the mechanism for gaining competence and certification.

Policy defines and requires up front investment plans for workforce development that rewards personnel for keeping the workplace simple and efficient.

Technological skills are a required competency for all new job classes and job descriptions in the To Be business model. Certification and re-certification in I.T. skills for all existing staff from local level to State level will be required. Routine adjustments will be made to job specifications as technology changes. Staff growth and development curriculums adjust continuously to accommodate new technologies and new business methods.





The work force in the To Be business model is mobile with system connectivity that allows them to be productive from any location. Performance management will reinforce the use of technology. Growth potential is based on continuously increasing skills and knowledge, not position availability.

The Commonwealth of Virginia instituted broad banding for employee compensation in 2000; however, it was clear from the experience of individuals on the BPR Team that concepts of "pay for performance" and broad banding have been mixed. It appears that implementation of broad banding and it's understanding by VSSS employees and VSSS management is not producing the desired result.

BPR recommendations include correct utilization of compensation banding to provide the greatest level of flexibility in compensating for ever expanding skill sets. Compensation policies maintain equity between existing employees and new-hires. Confusing compensation banding with a pay-for-performance approach impedes VSSS's ability to recruit and retain skills and competencies needed in the current environment. Pay for performance programs are designed for full funding. It is recognized that the life-cycle of such programs is limited by politics and the desire and capacity to fund it. Compensation banding can be designed in such a way that it is used effectively by supervisors, managers and administrators. It isn't simple, but it fits the more complex world in which VSSS finds itself today.

To quote the Human Resources Management Panel of the National Academy of Public Administration, Center for Human Resources Management, in a 2003 paper entitled, "Broadband Pay Experience in the Private Sector," "Significantly, the reasons to shift to broad banding are related to a general interest in improved company and employee performance. Broad banding changes the way managers and employees think about their jobs and salary management. It also helps to make decision-making less bureaucratic.

"Public sector banding is associated with an interest in moving away from time-in-grade salary increases and from the rigidity of the classification system. Some of that mindset is true in the corporate world but the underlying reason for shifting to broad banding has been the general recognition that traditional practices are too inflexible. This carries over to how employees view their jobs and their willingness to assume new duties.

"Planning for salary programs starts with business and human capital strategies that are the basis for workforce planning. Pay levels are seen as key to attracting and retaining a qualified workforce. "

Public sector organizations that were included in case studies for the Panel's series of articles on broad banding include:

- Commonwealth of Virginia
- State of Florida
- State of South Carolina
- State of Washington





The To Be business model acknowledges the difficulty the VSSS faces in preparing existing staff to work in the To Be environment and the difficulty in attracting and retaining the skills and competencies desired in new hires.

A policy will be instituted to work with universities and colleges to establish the expected skills and competencies that are required in VSSS new business model. There is an expectation that curriculums are established to provide a skilled workforce within the next four years for VSSS recruitment.

A policy will be instituted to work with Virginia based employers that have employees with the skills needed in the new business model. VSSS will provide a potential outplacement employer for businesses that are laying off due to cut-backs or outsourcing of Virginia jobs.

A policy will be instituted to work with universities and colleges to establish a continuing education program on site as well as on campus (or available via other modes, such as web-based) for existing staff to provide the skills they need to be successful in the new business model.

A single repository for HR information for localities is integrated with the composite application housing the data gathering tool in order to:

- Eliminate duplication of HR record keeping
- Provide a mechanism for dual management and maintenance by the State and localities in a facility that has a value commensurate with doing the data input
- To support a universal calendar
- To make workload assignments
- To identify job assignees
- To identify specialized skills, such as language, etc.

Employee records are accessible by the individual, supervisors and managers alike. Employees are able to access individual personnel records in electronic form. Leave and retirement data are viewable on-line. There are automated leave calculations. There are automated calculations (what if) on sell back time and there are incentives for selling back unused leave time.

There is an on-line performance management capability for universal use by supervisors and employees.

6.1.2. SKILLED RESOURCES

There is a job skills library (database) that identifies and catalogs individuals with certifications and qualified skills, for example, in grant writing, speech writing, writing legislation, public relations, and public speaking, facilitation and mediation. There is ability to see a statewide inventory of individuals and a willingness to share staff from the library.

Each locality has the ability to bank hours of staff time contributed, and the ability to draw out equivalent hours as additional staffing resources are required. The library provides a





ready source of information on skills to temporarily staff the business modeling laboratory for special projects.

6.2. CHANGES TO POLICY AND OPERATIONS

6.2.1. ACCOUNTABILITY, QUALITY AND PERFORMANCE

Quality achievement is dependent upon information collected and amalgamated from Error Prevention activities (fraud, QC, Appeals, pre-appeal conference findings) and other sources to provide data for root cause analysis and corrective actions that can improve the opportunity for accuracy and quality services for the consumer from the start. Business methods and support tools are designed to prevent errors.

There is capacity and a mechanism to collect performance and service delivery data at, and forward from, the first point of contact. The ability exists to routinely provide data on responsiveness. There are skilled resources to analyze the data against performance targets (baselines expected) and establish valid, proven business methods of continuous improvement.

Standards exist for response quality and performance at the first point of consumer contact through disposition, including benchmarks for:

- Level of service appropriateness
- Timeliness
- Quality of the interaction
- Provision of options for self-direction
- Confirmation of consumer satisfaction
- Evaluation of community perception
- Follow-up to measure validity of the service level when compared to outcomes

6.2.1.1. Organizational Performance Metrics

Policy, standards and mechanisms are in place for measuring, quantifying and communicating throughout the enterprise the cost of business operations methodologies, enabling cooperation in managing change. For instance:

- The practice of multiple consumer visits to VSSS offices to consummate a single unit of service
- The community's cost when services are delayed or interrupted beyond a standard of performance
- Costs associated with delays in getting information or getting paper-based applications from community partners or outreach efforts that allows VSSS to assign the correct aid codes
- Impact of costs on funding streams
- Service delivery practices that impede service delivery

Standards for service delivery are designed to limit the cost of a unit of service. An objective measure of performance outcome (scorecard) will document performance outcomes relative to costs incurred in service delays. A real-time statistical and demographic reporting component will exist in major programmatic systems as well as the composite application to





provide comparative data for supporting the scorecard. The raw information must be available at the worker level, unit level, division level, locality level, program level, and state level.

Accountability standards will be in place for increasing service delivery costs beyond the established benchmark. Cost information provides the data necessary to create a cost-benefit picture for best practices service delivery and system enhancements. A cost analysis is completed and communicated immediately when an enterprise-wide or locality-wide impediment to consumer service is identified.

A meaningful tool will be used for performance management. Performance management methodology will include a monitoring component to identify when there is a probability of employee frustration with their job so that proactive efforts can be made to improve process or outcome. When individuals resign, a valid tool will be used for collecting information based on exit interviews as to why individuals are leaving VSSS employment. Trends and baselines will be used to correct an issue based on the cost analysis on loss of skills. Retention plans will be developed to correct retention deficiencies.

6.2.1.2. Business Modeling and Testing

Over time, technical assistance from the State to localities (as it is known in the As Is business model) is reduced or eliminated in this business model. A performance management methodology is established to assure that the work behaviors modeled and tested within the business modeling laboratory (such as, collaboration, non-duplication, non-redundancy, reliance on technology tools) are followed statewide.

6.2.1.3. Delegation of Authority

It is an enterprise wide policy to delegate responsibility and authority lower in the organization. In the To Be business model skilled employees with improved system support have authority to perform case actions, such as purchase of services and authorize financial services, as well as carry out other services actions without immediate supervisory review. Automated controls will establish thresholds for levels of authority. Performance measures and performance management establish accountability for performing delegated tasks responsibly and for maintaining the integrity of this level of delegation. For those situations in which supervisory review and secondary approval are required, the review will be performed on-line rather than on paper.

6.2.1.4. Human Resources Information Management

In the To Be business model, it is assumed that all VSSS information is handled and entered only one time. It is recommended by the BPR Team that the composite tool also be used for the management of human resources information rather than developing an additional standalone system.

The benefits of using the same tool/application extend beyond the collection and storage of information. It will permit recording of specialized skills (certifications for special consumer needs such as language or professional competencies) for matching the correct personnel to specific needs. This tool will be used to make workload assignments by matching employee skills to consumer needs, and will manage universal calendaring, appointment





scheduling and workload tracking. Workloads for individuals and teams can be equitably distributed as well as tracked and managed.

The integration of HR and consumer information management capability has the ability to support production of demographic, performance and/or statistical data that is not otherwise produced in other systems.

Linking personnel information to other systems in a way that it provides management value to the localities without requiring dual entry of data in a workload management system and an HR system will provide an impetus to localities to keep the information updated.

6.3. ORGANIZATIONAL STRUCTURE/ROLES AND RELATIONSHIPS

In the To Be business model, the organization is collapsed and flattened. Some of the layers and stovepipe operations are removed to improve person-to-person communication across the enterprise.

6.3.1. STRATEGIC PLANNING AND MANAGEMENT

There is peer to peer interaction within the executive level, with a dotted line relationship between the Commissioner and Local Directors. This State and local group functions as a consortium with common interests and goals.

Individuals within the Strategic Planning and Management Core Function perform the role of Strategic Planning Coordinator/Mentor. They are a neutral voice. They facilitate government to government relationships and sponsor employee/teams, departments, and localities growth and performance. They focus less on policy knowledge. They function as mentor, coach, and/or motivator. Their relationship is positive rather than punitive.

They continuously evaluate whether the organization successfully meets their business objectives for serving consumers' needs. When performance lacks, they direct operations management personnel to determine the causal factors. On-going consumer, partner, and employee feedback are valued. Findings are shared throughout the organization.

Strategic Planning and Management provides a primary point of accountability for strategically directing change and evaluating the impact of change on operational activities. The To Be business model suggests a single, primary individual or Team to assume this responsibility (i.e., a Change Control Officer).

Enterprise Change Management is assumed to be a long-term strategic responsibility as VSSS embarks on a long-term journey toward changing its governance model, its operations model, its community-based partnerships, and its consumer services model. The position responsible for this effort over time must work from the auspices of the Commissioner's office. Continuity of Enterprise Change Management is critical; in the event that a transition in leadership is necessary, it is important that the business objectives and business philosophies about the Enterprise Change Management role is fully understood.

Strategic Planning and Management utilizes and relies on system-based data to stay informed about enterprise-wide performance and progress toward strategic planning





objectives. Budget planning and allocation of resources is driven by the organization's strategic directions and consumer needs. These individuals demonstrate leadership in assuring accountability throughout the enterprise for achieving performance measures. Adequate resources and funding are provided to support accountability.

A structured and chartered steering committee approach is used at the Strategic Planning and Management level to provide overall direction and guidance, establish expectations, review recommendations, appoint workgroups, and make decisions. Certain principles guide steering committees:

- Committees provide framework and direction but do not carryout the work plan
- Committees are goal-focused and some may be time limited
- On-going committees have a charter that spells out what is expected of them over time
- Committees assign one or more work groups to complete an action plan
- Each Committee has the added role of executive sponsor for the work group
- The Committee is responsible for reviewing and approving work products or outcomes

6.3.2. OPERATIONS MANAGEMENT

Operations management in the To Be business model brings together a broad base of policy, systems, communication, error prevention, staff development, human resources, and project management staff knowledge. This operations management staff is responsible for assuring that day to day operational modalities are effective and cost efficient, and for anticipating and preparing for strategic organizational change.

The To Be business model's approach to operations management utilizes inter-disciplinary management teams to collaborate across state and local operations groups, encompassing all 20 program areas, three administrative support functions, and twelve programmatic support functions. The inter-disciplinary teams have responsibility and accountability for quality products and services.

The To Be business model assumes that individuals within the Operations Management Core Function assume responsibility as Operations Coordinators/Mentors (formerly known as, Program Managers, Supervisors, and Division Directors). These individuals are a neutral voice and facilitators of partnerships. They focus on the employee/teams, the State department and localities' growth and performance.

Rather than being valued for their policy knowledge, this staff is valued for their ability to evaluate whether the consumers' needs are being met and determine what the causal factors are that contribute to VSSS' inability to meet those needs. They act as mentor, coach, and/or motivators of organizational performance. Operations Coordinators/Mentors could develop skills to function as assigned Project Managers irrespective of the project.

They are skilled at evaluating consumer, partner and employee feedback, and maximizing the organization's capacity for performance. The Operations Coordinators/Mentors may function as an extension of staff development, performing continuing assessment of employees' needs and performance. They use system based data to stay informed as to organizational performance, and respond as needed to improve performance.





Within the Operations Management Core Function, inter-disciplinary work groups are a new vehicle for producing time-limited work products. They are assigned to a project manager and are accountable for carrying out action plans. There may be several work groups for a single committee. Charters and standards are established including:

- Performance expectations
- Due dates
- Timelines
- Milestones
- Deliverables
- Reports of progress
- Implementation plans and, where appropriate, risk assessments and mitigation measures

Operations management personnel function on a day by day basis within the business modeling laboratory, assuring that all operations modalities are thoroughly modeled and tested prior to implementation. They are responsible for maintaining a single, on-line, integrated policy, a single, on-line, integrated procedure, and guidelines as deemed necessary, to support effective delivery of consumer services either through VSSS or community-based partners.

6.3.3. PARTNERSHIP DEVELOPMENT

VSSS organizational capacity for becoming a leader in provision of community-based services will be developed. A segment of the organization will be assigned to focus on building relationships and partnerships to increase service delivery capacity. Staff will be developed as required and redeployed to meet the requirements of this Core Function.

The To Be business model assumes that VSSS acts on a willingness and desire to allow others (community-based partners) into the folds of the statewide enterprise. Staff understands that VSSS does not need to be a community's service provider of first choice.

VSSS will have a leadership role in establishing community or regional needs assessment efforts and strategically planning for improvement of targeted indices. The Partnership Development Core Function will share resources, facilities, staff (i.e. grant writers), costs, and data with community partners.

Community-based partners become members of the Consumer Services Coordination Team in direct response to identification of consumer need.

6.3.4. CONSUMER SERVICES

The Consumer Services Core Function organizational structure will be set up to permit the consumer to receive immediate service through the initial assessment tool with no wrong door for entry. Modeling and testing of policy before implementation will eliminate the need for clarification within VSSS; however, service partners/providers who need clarification may access a self-help on-line facility.





Staff dependency on bricks-and-mortar is removed. The service delivery staff is mobile within the community. Individuals and teams are not constrained by the organization's internal controls and interactions, giving staff more time available to deliver quality services. The To Be business model assumes that the cost of facilities will decrease, as paper storage requirements are eliminated and staff is more mobile. Facilities can become smaller and more modern.

Employee and supervisory roles and responsibilities will alter significantly in the To Be business model. The number of layers of personnel and management is reduced as information becomes readily available. Spans of responsibility will expand. It is assumed in the To Be business model that individuals working in the Consumer Services Core Function will take on the role, also, of Coordinators/Mentors (formerly known as Supervisors, Program Managers, and Directors). Coordinators/Mentors have multiple responsibilities that include facilitating community partnerships; monitoring and employee and team needs, growth, and performance; acting as a mentor, coach and/or motivator to service employees and teams.

These individuals provide a neutral voice to consumer and employee alike. They are highly skilled at evaluating consumer, partner, and employee feedback and systems' data and thus determining consumer satisfaction. They analyze feedback information to determine causal factors that contribute failure to meet consumer needs. It is their responsibility to continually assess employee needs and performance and to reinforce high performance work behaviors that comply with each employee's performance management plan.

These individuals are highly skilled at evaluating consumer, partner and employee feedback, thereby evaluating whether the consumers' needs are being met. They analyze the information to determine what the causal factors are that contribute to the inability to meet those needs.

The Consumer Services Coordinator/Mentor functions as an extension of staff development, performing a continuing assessment of the employees' needs and performance, and reinforcing high performance work behaviors. They utilize system based data to stay informed as to work production and progress toward each employee's performance management plan.

6.3.4.1. State and Local Relationships

Statewide resources and processes are clearly defined, so that it is clear what the state supervision/oversight role will provide. It is assumed in the To Be model that the State will assist in lowering costs statewide by applying economies of scale. This is assumed to include:

- Provision of technology tools that span services delivered and job functions
 - Assessment
 - Case management
 - Workload assignment





- Communication
- Performance measurement
- Performance management
- Human resource management
- Business modeling laboratory
- Negotiation of contracts for providers, including:
 - Nursing homes
 - Adult Day care
 - Child Care
 - Language translation
 - Residential care rates

A statewide standardized performance management methodology continuously improves the State and local workforce. Performance measurement includes factors such as staff development outcomes, feedback from error prevention [QA, Appeals, Fraud]. A multi-level scorecard is used for performance indicators. Performance management provides a continuum of accountability and a foundation for continuous business improvements.

Communication between the State and localities, and State and federal agencies is excellent. There is a continuous (up and down the supply chain) transparent flow of information between state, local, and community partners.

In the To Be model, the State has a responsibility to provide funding and resources for a single Statewide Financial Management System. VSSS financial affairs benefit from enterprise-wide resource management.

It is the State's responsibility to provide funding and resources for the required statewide IT assets and functions.

State Human Resources is flexibly and dynamically responsive in supporting changing conditions by triggering re-evaluation of job skills and compensation throughout the enterprise.

Policy development is inclusive, ensuring the necessary participatory input is considered from all sources including error prevention [appeals, fraud, QA], IT, staff growth and development and local operations management.

Consumer services are well-defined and prevent overlap and duplication of services, cost. Policy is designed to eliminate the potential for fraud. The State's policy aligns with federal regulations:

- Policy is in compliance with federal requirements
- Outcomes avoid penalties

VSSS makes full use of federal waivers and grants, and maximizes use of all funding streams.





Reporting between the State and federal agencies is efficient. The loop between federal and state ensures all required data is shared electronically.

There is effective communication between the State and federal agencies on performance. Federal reviewers are able to look at cases online and in real-time. Performance findings are communicated throughout the statewide enterprise along with plans to correct any deficiencies. Potential national shifts in policy and/or funding are communicated from the earliest point throughout the statewide enterprise.

6.4. CHANGE MANAGEMENT SUPPORT

The changes outlined in this report are intended to deliver strategic and high levels of performance improvement across the statewide VSSS enterprise. This presents both opportunity and risk. The risks can be mitigated by a planned approach that spans time. The time is dependent upon the wherewithal of the organization to accept the opportunity. Having the wherewithal depends upon the level of executive sponsorship and the organizational resilience to sustain the change.

It should not be understated that this transition will require enterprise-wide support and cooperation.

The next phase of the VSSS BPR Project will assume responsibility for laying out a change management approach. This approach will include an implementation plan effort that evaluates the magnitude of the changes, the barriers to change, and measures for overcoming resistance to change. Implementation will start with a series of Interim Changes that are choreographed to produce dramatic benefits for the targets of change. These early successes have a dual role. They solicit support, but they also begin to produce real financial benefits that can be used to fund or augment funding for additional implementation steps. It is anticipated that the Change Management approach will be ready for publishing in early November 2005.





7. HIGH-LEVEL TECHNOLOGY REQUIREMENTS

7.1. REENGINEERING APPROACH TO TECHNOLOGY

The scope of the Business Process Reengineering (BPR) project specifically excluded information technology. To that end, the BPR Team avoided looking for or to a particular tool or technology as it defined the needs for support for the new business model.

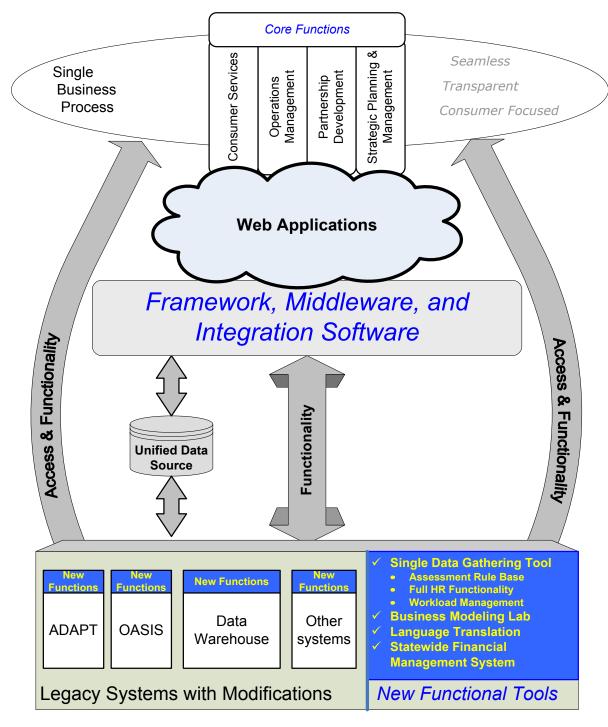
The approach taken by the BPR Team for technology was to view technology as an "enabler" rather than a "solution". While subtle, the differences are immense with respect to how technology is employed to enable the business. When technology is viewed as a "solution", new systems are frequently built to address a specific business program or problem. This results in a large number of systems, frequently built upon multiple technologies that are redundant and possibly incompatible. By treating technology as an enabler, solutions are based on business requirements defined prior to selecting a particular technology. The result is enterprise-wide solutions that provide consistent performance with the minimal number of systems that must be maintained and implemented.

The BPR Team also recognized the immense cost to redesign or replace existing systems and the resultant inability to achieve a key business objective provided by the Steering Committee regarding the cost of BPR. Whenever possible, the existing technologies and systems were considered as the basis for future improvements. The team presumes the maximization and reuse of existing systems to serve as a foundation for the reengineered systems and technologies that will be required to support the new business model. With some modifications to legacy systems and the addition of several new automated tools, a core set of functionality will be established to provide the support needed to automate and execute the core functions of the new model. It should be noted that while reuse should be an important element of the new model, the redesign or replacement of existing systems has not been precluded. In all cases, a detailed business case analysis should be performed and the best approach selected based on that analysis. The recommendation to avoid wholesale replacement of existing systems is made based on evidence from several other states that have attempted such an approach. In nearly every case, these states have experienced large cost overruns and significant schedule delays as compared to the original estimates and plans.

Figure 7-1 illustrates one possible approach to combining new functionality and systems while leveraging the investment made in existing systems.







Technology Reuse and Integration Strategy Figure 7-1:



7.2. IMPACT OF REENGINEERING ON TECHNOLOGY

The To Be business model will affect systems and technologies in two ways. First, existing systems will require some change to implement the new requirements. These changes are small to moderate in nature, and are consistent with current Division of Information Systems (DIS) and Virginia Information Technology Agency (VITA) capabilities. They are focused on allowing additional access to information contained within these systems, communications between systems, and reviving functionality that currently exists. The second area is comprised of new systems that will be required to support the core functions. These systems may be off-the-shelf commercial applications or can be developed within the VSSS. The BPR team categorically avoided recommending specific software packages or vendors to allow DIS and VITA the flexibility to implement requirements. Once implemented, the Business Modeling Laboratory and detailed Cost-Benefit analyses should be an integral part of requirements analysis and implementation strategy.

Table 7-1 below lists the new tools and new uses of existing tools that will be necessary to support the To Be business model.

New automated functional support tools			
Tool	Functionality		
Single data gathering tool	Assessment using a rules-based engineFull HR functionalityWorkload management		
Business modeling lab	 Extends across both state and local operations Business simulator software Measure Performance Statistical Reporting HR Analysis and Measurement Assessing ability to meet requirements Support Policy Development Project Planning and Management Staff Growth and Development 		
Language translation	DocumentationInformation sharingCommunications		
Statewide Financial Management System	 Single Enterprise-wide system Funding traceability Standard Accounting Practices Single source of data entry and reporting Auditing Accountability Forecasting Budgeting 		



New uses of existing automated functional support tools			
Tool	Functionality		
Web-based communication medium	 Broad-based Self-service capability Supports a mobile workforce Information flows freely to staff, management, consumers, and partners Real-time and historical information is provided 		
Information and Referral (I&R) Database	 Capabilities and Resource Inventory Performance results Prioritization and "best fit" Real time update capability Available to all stakeholders 		
Project Management	 Expanded use for all Business Project Managers State and Local use 		
IT Operations	Help DeskSecurityAuditing CapabilitySystem Availability		

<u>Table 7-1</u>: New Tools and New Uses of Existing Tools Required by the To Be Model

7.3. FUNCTIONAL REQUIREMENTS

While specific technology and software were not a consideration for the BPR Team, functional support for the new model was a substantial consideration. As the Team developed the core functions and activities of the new model, they documented the type of automated support that is required to fully realize the benefit of the provisions of the new model. The result is a list of business or functional requirements. These requirements are purposely high-level so as to not presuppose or prescribe a specific tool or application. They are at a level sufficient for technical staff to understand the nature and scope of the requirement. Further definition of specific or detailed requirements in joint application design (JAD) session or by other means is necessary before development can be initiated. The complete list of requirements in varying views is located in Appendix F

7.4. ADDITIONAL CONSIDERATIONS

7.4.1. EXISTING ENTERPRISE SOLUTIONS

VDSS has implemented enterprise HR and Financial Management tools. The BPR team recommends these be considered for implementation across the entire enterprise. By leveraging these existing solutions, the VSSS can benefit from existing training and expertise while also saving cost. Both these solutions are required enterprise-wide to support the new business model. Local agencies benefit from the single-source of data





entry while also gaining the ability to generate reports on their performance benchmarked to other agencies and the enterprise. VDSS will realize better timeliness of data, improved reporting, and simplified maintenance of these functions, which are currently supported by multiple systems, including systems developed in-house.

7.4.2. GLOBAL SYSTEM SIGN-ON

The significant number of systems used by the local and state agencies under the As Is business model requires users to establish and maintain multiple logins for these systems. This adds additional work and complexity to completing daily tasks. The BPR team strongly recommends establishing a Global Sign-on for all systems through the use of an enterprise-wide user directory. This can be accomplished in phases, focusing on a utility for existing systems first, followed by integration into the single information collection tool that supports the assessment tool functional requirements. The BPR team assessed the efficiency and performance benefits of a Global Sign-On, and concluded they outweighed the costs associated with developing the capability. The team used the draft VDSS Simplified Sign-on Discovery Document as a basis for the associated costs, and re-evaluated the benefits that would be achieved. The following areas were considered important improvements that would warrant the cost:

- <u>Staff Retention and Recruiting</u> repetitive tasks are a common cause of difficulty in recruiting and retaining staff.
- Improved Security by consolidating logins, it will be easier for VDSS to manage security across the systems. Users will also be less inclined to write down passwords or store them in such a way that generates a physical security risk.
- <u>Compatibility with Long-Term Solutions</u> the target functional implementation envisioned by the BPR team includes a single point of data gathering and consumer needs assessment. A Global Sign-on capability is needed to support this vision.
- <u>Time Savings</u> both users and support staff will have fewer requests for password resets, fewer password changes, and less time spent logging into and out of systems.

While the team recognizes the narrow scope assigned to the Single Sign-On (SSO) team in performing their study, we highly recommend re-visiting this issue in light of the other BPR recommendations.

7.4.3. STANDARDS FOR DATA SHARING

The BPR team recommends establishing a standard for how systems share common demographic, financial, and services information. A standard built upon EDI or XML will be required as part of To Be business model to allow effective sharing of information. By establishing this standard, including the common or shared data elements, the job of the developers will be greatly simplified and evaluation of system changes and improvements using the Business Modeling Lab will be more consistent. A standard of this nature will benefit both internal development as well as development provided under PPEA or RFP with vendors.





7.4.4. IMPLEMENTATION OF A SINGLE DATA COLLECTION TOOL

As outlined in this section and others within this document, a Single Data Collection tool is required as part of the To Be business model. When evaluating potential implementation strategies, integration of this capability with an existing system as part of planned upgrades should be one of the options considered. The BPR Team did not intend to imply a completely new system was required to support this capability.

7.4.5. SHARING OF ELECTRONIC RECORDS

The requirement to provide electronic record keeping whenever possible is also affected by the business requirement to share information at all levels of the enterprise. Electronic records should be available to both VSSS employees and provider partners with the proper level of access and the need-to-know.

7.4.6. EVALUATING LEGACY SYSTEMS FOR COMMON CAPABILITIES

Existing legacy systems should be evaluated for their capability to support non-automated functions based on like functional requirements before new standalone systems are procured or developed. In the To Be model, there are several common features that support the core requirements. In today's systems, these capabilities are often duplicated in multiple systems – for example, the "Intake" function resides in many systems. Legacy systems should be analyzed to determine which one provides the most capable functionality and is the most cost-effective to modify. The identified system should then be targeted for any modifications necessary and adopted as the single enabler to satisfy the functional requirement.

7.4.7. THE ROLE OF THE BUSINESS ANALYST

Business analysts will play a critical role in translating policy requirements into functional requirements for information systems. While analysts are employed in the As Is business model, their role and involvement in system development from cradle-to-grave under the To Be model is expanded and critical to the success of the model.





8. WAIVERS AND STATE OPTION

8.1. BACKGROUND

Individuals familiar with the Social Service Programs view its rules as unnecessarily complex, creating an administrative burden for state administrators, caseworkers and participants. Additionally, many participants receive benefits from multiple programs that have different program rules, adding to the complexity of accurately determining program benefits and eligibility. For example, in 2002, about 85 percent of children who received food stamp benefits were also on Medicaid, and about 20 percent of food stamp households received assistance from TANF. Many food stamp participants also receive child care assistance and Supplemental Security Income. In Virginia, a full range of programs is administered out of each local assistance offices.

Despite the overlap in the populations served by these various assistance programs and locations, program rules and requirements across these programs vary significantly. States have considerable flexibility in the rules that govern eligibility for these programs.

8.2. WAIVERS AND STATE OPTIONS GOVERNING LAWS

States utilize waivers and options to the federal rules regulating social service programs in an effort to eliminate barriers to participation and streamline the application and eligibility determination process. While states continue to administer the Food Stamp program under federal rules and regulations, Personal Responsibility and Work Opportunities Act of 1996, known as Welfare Reform, gave states the flexibility to administer their welfare programs through TANF block grants. To preserve Medicaid coverage for low-income families with children, the welfare reform law created a new Medicaid eligibility category. Under the new "Section 1931" group, families who would have qualified for Medicaid under a state's TANF program are generally eligible for Medicaid now, regardless of whether they receive TANF assistance. Thus, three distinct categories of rules and regulations must be addressed when states look to eliminate barriers to participation in state social service programs.

8.3. WAIVERS AND STATE OPTIONS OPPORTUNITIES

Current Medicaid and TANF rules and regulations offer new options for states. Specifically, Congress provided states with broad flexibility under Welfare Reform and Section 1931 to not only expand TANF and Medicaid to cover more low-income families but also to streamline the application and eligibility determination process.

Since the late 1990s, and most recently in the 2002 Farm Bill, Congress and FNS have offered states a number of options and waivers to simplify and streamline the administration of the Food Stamp Program. These waivers and options presented states with opportunities to tailor their Food Stamp Programs to the social and economic needs of their own states, help simplify the program, encourage greater participation among eligible households, ease the administrative burden for participants and program administrators, and help support low-income working families. Moreover, these changes coincided with actions taken by the Congress through Welfare Reform to grant states considerable flexibility in the design and administration of other key assistance programs, such as TANF and Medicaid, and





addressed the growing realization that the Food Stamp Program provides crucial support to low-income working families.

In order to take advantage of existing opportunities available to states for streamlining participant reporting rules, VSSS may want to explore the advantages and disadvantages-in terms of both administrative and benefit costs and savings--of better aligning participant reporting rules in their states, particularly for Medicaid, TANF and Food Stamps. This section examines policy option and waiver opportunities available to the VSSS.

In addition, please see Appendix G, for Code of Federal Regulations (CFR) citations that illustrate how various provisions of the Food Stamp Program support the requirements of the BPR project's business objective and the complete list of USDA/FNS Food Stamp Program waivers.

8.4. VSSS OPTIONS VS OPTIONS NATIONWIDE

VIRGINIA			
Option	Choice		
Simplified (Reduced) Reporting Requirements	Yes		
Quarterly Reporting	No		
Monthly Reporting	No		
Status Reporting	No		
\$100 Reporting – Earned Income	No		
\$100 Reporting – Unearned Income	No		
Transitional Benefits	Yes		
Simplified Definition of Income	Yes		
Simplified Definition of Resources	Yes		
Vehicle Rules	TANF Cash Assistance – All Vehicles Excluded		
Expanded Categorical Eligibility	Yes		
Simplified Homeless Housing Costs	Yes		
Standard Utility Allowance	Yes - Not Mandatory		
Simplified Utility Allowance	No		
Simplified Deductions	No		
Child Support Expense Income Exclusion	No		
Nutrition Education Program	Yes		
Outreach Program Yes			
State Option Food Stamp Program No			
Simplified Food Stamp Program	No		
Wage Supplementation	No		
E&T Pledge State	No		
E&T Sanction Months	1-3-6 Months		
E&T Household Disqualification	Yes		
Comparable Disqualification	No		
Child Support Disqualification	No		
Drug Felony Disqualification	Lifetime Ban		
Electronic Application Filing	No		





Nationwide	
Option	Number of States
Simplified (Reduced) Reporting - Earned Income Households Only	7 ~
Simplified (Reduced) Reporting – Expanded to Other Households	35
Quarterly Reporting	1
Monthly Reporting	6
Status Reporting	13
\$100 Reporting - Earned Income	22
\$100 Reporting - Unearned Income	7
Transitional Benefits	13
Simplified Definition of Income	29
Simplified Definition of Resources	26
Vehicle Rules: FSP	5
Vehicle Rules: TANF Assistance	30
Vehicle Rules: Child Care or Foster Care	11
Vehicle Rules: TANF-MOE Categorical Eligibility	7
Vehicle Rules: Excludes All Vehicles	24
Vehicle Rules: Not All – But At Least One Vehicle Excluded	16
Expanded Categorical Eligibility	39
Simplified Homeless Housing Costs	24
Standard Utility Allowance	52
Mandatory Standard Utility Allowance	35
Simplified Utility Allowance	33
Simplified Deductions	4
Child Support Expense Income Exclusion	8
Nutrition Education Plan	52
Outreach Plan	30
State Option Food Stamp Program - Purchase of FNS Benefits	4
Independent State Food Stamp Program	3
Limited Simplified Food Stamp Program	6
Wage Supplementation	3
E&T Pledge State	16
Extended E&T Sanction Periods	14
E&T Permanent Disqualification	3
E&T Household Disqualification	13
Comparable Disqualification	15
Child Support Disqualification: Failure to Cooperate Only	3
Child Support Disqualification: Arrearage Only	0
Child Support Disqualification: Both Failure to Cooperate & Arrearage	2
Drug Felony Disqualification: Lifetime Ban	20
Drug Felony Disqualification: Modified Ban	18
Drug Felony Disqualification: No Ban	15
Electronic Application Filing	8



8.5. POLICY OPTIONS

	Current Policy	Policy Option	QC Regulations
Funding Opportunities		Funding sources available under Medicaid, CHIP, and TANF for outreach activities, systems changes, training, and other investments critical to supporting compliance with Medicaid requirements in the new welfare context and maximizing health care coverage of low-income families with children. States have several options for claiming Federal matching funds for their spending on efforts to find and enroll families and children in Medicaid and CHIP. The Medicaid and CHIP funds for outreach were described in detail in a January 23, 1998 letter to state health officials highlighting new and existing opportunities for outreach to uninsured children. In addition, options to receive Federal funds for outreach spending are available under TANF.	N/A

Medicaid Funds: Medicaid law does not limit the amount of money a state can spend on outreach efforts to enroll people in Medicaid. The Federal government will match such spending dollar for dollar.

<u>CHIP Funds</u>: State spending on CHIP-related outreach activities is matched from the state's CHIP allotment. States may spend up to 10 percent of their total CHIP expenditures (Federal and state) on non-benefit activities, including outreach. These expenditures are matched at the enhanced CHIP matching rate. At state option, outreach activities related to a CHIP Medicaid expansion can be matched either





	Current Policy	Policy Option	QC Regulations
from the state's CHIP allo		ching rate) or at the regular Medicaid ad	ministrative matching rate. If a state
elects to claim the CHIP	match rate for outreach expenditur	es related to the CHIP Medicaid expans	ion, then the Federal matching
payments count against 1	10 percent limit and the CHIP allotr	ment. If the state exceeds either limit, it	may claim matching for the additional
costs of these activities a	t the regular administrative matchi	ng rate under the Medicaid program.	
		ate maintenance-of-effort (MOE) funds f	
		as state Medicaid matching funds. Whil	
		vide medical services (except for pre-pre	egnancy family planning services),
TANF funds can be used	for non-medical services, such as	outreach to ensure medical coverage.	
		Under Section 1906 of the Social	N/A
		Security Act, states have the option	
Medicaid Cost		of paying a low-income worker's	
Sharing for Employer		share of the premium for employer-	
Covered Benefits -		sponsored health insurance along	
Option		with any cost-sharing, if such action	
		would be cost-effective relative to	
		providing Medicaid for that person.	
The cost to the state of the premiums and cost-sharing must not exceed the cost to the state of providing Medicaid benefits. The family or			
		e to enroll in the employer-based health i	
		quiring that individuals receiving transitio	nal Medicaid enroll in employer-
sponsored insurance, wh	ether or not it is cost-effective.		
		Under Section 1902(e)(12) of the	N/A
		Social Security Act, states may grant	
Medicaid Continuous		continuous Medicaid eligibility to	
Eligibility for Children		children under age 19 for up to 12	
- Option		months, even if there is a change in	
		family income, assets, or	
		composition.	
Such eligibility must end when the child reaches age 19. By granting children eligibility for up to one year without regard to changes in			

Such eligibility must end when the child reaches age 19. By granting children eligibility for up to one year without regard to changes in circumstances, states can minimize the burden on families seeking to maintain coverage for their children. Most importantly, continuous eligibility can minimize coverage losses among children that occur because families are in financial transition and because of the barriers to continued participation that recertification requirements impose. To adopt the continuous eligibility option, states must amend their





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	Current Policy	Policy Option	QC Regulations	
Medicaid state plans. States may also grant continuous eligibility under CHIP.				
·		States can raise their income and	N/A	
Medicaid Financial		resource standards by as much as		
Restrictions - Option		the rise in the Consumer Price Index		
_		(CPI) since July 16, 1996.		
Section 1931 also allows	states to use income standards the	at are lower than the July 16, 1996 AFD	C standard, but no lower than those in	
place on May 1, 1988. E	xercising this flexibility, a state may	y, for example, pass legislation indexing	the income and asset standards for its	
Section 1931 families wit	hout obtaining a Federal waiver an	d without regard to its policies under TA	NF. Because of the CPI constraint, a	
state that has chosen to	apply income standards under TAN	IF that are significantly higher than those	e under its AFDC state plan in effect	
on July 16, 1996 may no	t be able to raise the standards for	its Section 1931 group to the same leve	However, such a state could	
		oup by using the authority to liberalize its		
		under TANF from \$250 per month to \$50		
		desired result by disregarding an additio		
"the difference between t	he AFDC standard and the TANF s	standard by family size") for purposes of	Medicaid eligibility.	
		Under regulations published August	N/A	
Medicaid Deprivation		7, 1998, states have increased		
Option		flexibility to define the deprivation		
		requirements for Medicaid eligibility.		
		eligibility to two-parent families if the prin		
100 hours per month. The new regulation removes the 100-hour definition of deprivation and instead allows states to set a reasonable				
		t may take into account family size and/o		
	•	e same under Medicaid even if a distincti	on existed under the states' 1996	
AFDC and Medicaid state			F	
	N/A	States can use less restrictive	N/A	
Medicaid Financial		income and/or resource		
Methodologies -		methodologies to determine Medicaid		
Option		eligibility than those in effect under		
01.1		the July 16, 1996 AFDC state plan.	<u> </u>	
States can expand coverage to more low-income families with children without obtaining a Federal waiver. For example, a number of				
states have chosen to disregard a car of any value, as well as interest income, under their TANF programs. Some of these states have adopted the same disregards for their Section 1931 group under Medicaid as they have in their TANF programs. (These types of				
			ir programs. (These types of	
disregards must be appli	ed equally to all applicants and rec	ipients under the Section 1931 group.)		





Current Policy	Policy Option	QC Regulations			
In addition, some states have chosen to apply more genero	ous earned income disregards under TAI	NF and have adopted the same			
disregards for the Medicaid Section 1931 group. States ca	disregards for the Medicaid Section 1931 group. States can apply these disregards to applicants and recipients or, without violating				
comparability requirements; they can apply such disregards	s to Medicaid recipients but not applicant	s, by replacing the "\$30 and 1/3"			
disregards, which applied only to recipients under the AFD	C program.				
N/A	The TANF reauthorization bill (H.R.4737) contained a provision that allows states to waive nearly all provisions of federal law. This "super waiver" gives states virtually unlimited power to re-target federal programs for low-income and no-income populations. Although the super waiver is in the TANF bill, the programs affected are entirely unrelated to TANF. The programs that qualify for this authority are:	N/A			
Super Waiver – State Option	 Food Stamps. Child Care and Development Fund. Public Housing Wagner-Peyser Act. WIA job training programs. TANF Block Grant. Welfare to Work program, administered by the DoL. Social Services Block Grant. Adult Education Programs, under the Adult Education and Family Literacy Act. Homelessness Programs under the McKinney-Vento 				





Current Policy	Policy Option	QC Regulations
	Act. • Job Opportunities for Low-Income Individuals.	
	There are very few restrictions on the use of Super Waivers. The following provisions would not be waiveable:	
	 Civil Rights legislation Discrimination legislation. Health and Safety Standards. Labor Standards under the Fair Labor Standards Act. Environmental protection requirements 	
	Also, funds could not be moved from one federal appropriations account to another, nor could any funding restrictions in appropriations bills be waived.	
	There are four main restrictions to the use of waiver authority;	
	 An application for super waivers must involve two, or more, qualifying programs. Waivers must be cost-neutral for the federal government. There must be a "reasonable" likelihood of program 	





Cui	rent Policy	Policy Option	QC Regulations
		achievement.	
		 The waiver must show either 	
		a quality improvement, or be	
		cost-effective, or both.	
		Although states cannot alter the	
		purpose of a program, they can	
		change the nature of that program.	
		e.g. states can increase eligibility	
		requirements for the food stamp	
		program, and use the save funds in	
		job training programs. (A small	
		portion of the federal food stamp	
		funds are authorized for employment	
		training). In doing this, the state	
		would not be changing the purpose of	
		the program, as employment training	
		is already a purpose of the food	
		stamp program. The money that the	
		state had been spending on job	
		training programs could be then used	
		to fill holes in the state budget. As	
		another example states could require	
		that public housing tenants pay an	
		increase in their rents, and use this	
		money for other purposes. In effect	
		the super waiver gives states a slush	
		fund to use as they see fit.	

The super-waiver is a tool that would allow states to experiment with program coordination by waiving the program rules and requirements for two or more programs that serve poor people. Among the programs that would be subject to a super-waiver are the HUD homeless McKinney-Vento funds, public housing programs, food stamps, TANF, Social Services Block Grant and the Welfare-to-Work program administered by the Department of Labor.





	Current Policy	Policy Option	QC Regulations	
Essentially, states or state entities would apply to the Secretary responsible for administering the program(s) for which a waiver is being sought. Each application for a super-waiver would be required to include a description of how the programs' purposes would be met, along with an assurance that the experiment would not increase costs. If the Secretary responsible for approving the waiver did not take action within 90 days, the application for a super-waiver would be considered granted. Consideration: The super-waiver grant is for a fixed time-frame and no cost-of-living/inflationary adjustments would be made to the grant amount during that waiver period.				
Mandatory Standard Utility Allowances – State Option	Households who incur heating and cooling costs may choose between actual costs and a utility standard. Households residing at the same residence who share heating and cooling costs are entitled to one SUA for the residence.	Federal Register / Vol. 65, No. 225 Federal Register / Vol. 69, No. 74 The Standard Utility Allowance (SUA), used to determine a household's food stamp shelter costs, is mandatory for households that pay for their own heating or cooling expenses. The SUA is no longer prorated for families sharing heating or cooling costs, or for households including ineligible aliens, ineligible students or individuals who have failed to provide Social Security numbers. States utilizing Mandatory SUA Simplified:	If the State agency does not mandate the SUA, an individual household is entitled to use a SUA if: • The household receives or expects to receive LIHEAA payments for it's current residence, or • The household meets all of the following criteria: • The expense is not totally covered by an excluded vendor payment or reimbursement • The household incurs an expense covered by the allowance (in the case of a single allowance that includes heating and cooling costs, it must incur heating and cooling costs separate and	





Current Policy	Pol	icy Option	QC Regulations
	Arizona Delaware Georgia Illinois Kansas Maine Mass. Mississippi Nebraska New Jersey New York North Dakota Oregon Utah	Alaska Connecticut Florida Idaho Iowa Kentucky Maryland Michigan Missouri New Hampshire New Mexico North Carolina Oklahoma South Dakota Vermont Wisconsin	apart from rent) The expense is incurred during the certification period or the period covered by the SUA The household is billed on a regular basis or if it resides in private rental housing and is billed by their landlords on the basis of individual usage or is charged a flat rate separately from the rent. Residents in public housing units that have central utility meters and that charge households only for excess heating and cooling costs are not entitled to a standard that includes heating and cooling costs based only on the charge for excess usage. If the State agency mandates the use of the SUA, the household must receive the SUA if: The household is entitled to the SUA The household resides in a public housing with central meters, paying only excess heating and cooling (when the allowance includes heating and cooling)





Current Policy	Policy Option	QC Regulations
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The existing standard deduction, which had been frozen since 1995, was changed to a deduction that varies by household size and increases with inflation. As the standard deduction from household income increases, Food Stamp benefits increase.

All states currently use a Standard Utility Allowance (SUA) to approximate a household's utility costs. In most states, households choose whether to use their actual utility expenses or the SUA. 12 states have adopted an existing option that allows them to require that all households use the SUA. If states make using the SUA mandatory, it can ignore rules that prohibit the state for using the SUA for households doubled up with other families or households in public housing whose utility costs are partially paid by the housing authority.

<u>Considerations:</u> Households benefit from reduced paperwork under the Mandatory SUA as they only have to verify that they are charged for utilities. However, households with high utility expenses would have their food stamp allotments reduced under the Mandatory SUA provision. Implementation of this provision could require modification of existing automated systems.

Conferred Categorical Eligibility - State Option

Financial eligibility of a household is based on gross or net income as described in Part XI A. Benefit level is based on net income which is defined as the total of all countable income, both earned and unearned, after the appropriate allowable deductions have been made.

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Certain households are categorically eligible for the Food Stamp Program and therefore are not subject to income or asset limits. A household is categorically eligible if all of its members receive SSI, cash or in-kind TANF, or in some places, General Assistance.

A broader interpretation of categorical eligibility rules

The reviewer verify whether all household members received or were authorized to receive TANF, SSI, State or Local GA payments, or benefits from a state program conferring categorical eligibility.

The reviewer need not review those elements of eligibility, which are superseded by categorical eligibility, i.e., resources, gross and net income limits, social security number, residency, and sponsored non-citizen information. Included variances





Policy Option	QC Regulations
implemented on November 21, 2000 requires states to confer categorical eligibility on families receiving or certified as eligible to receive benefits or services that are at least 50% funded by TANF or MOE funds. States have the option of conferring categorical eligibility on families receiving or certified to receive benefits or services that are less than 50% funded by TANF/MOE. They may confer categorical eligibility on households where one member receives the benefit or service, but state determines that the whole household benefits. The gross income of those households must be under 200% FPIL. 39 states including Virginia operate an Expanded Categorical Eligibility Program, which includes varying degrees of Conferred Categorical	cannot exist in these elements.

States implement the Food Stamp Program by determining whether households meet established limits on gross income and assets, calculating monthly benefits for eligible households, and issuing benefits to households. The actual amount of food stamp benefits is based on household income after certain deductions including shelter, dependent care, and child support. To be eligible for benefits, a household's gross income may not exceed 130% of the federal poverty limit and the value of its assets may not exceed \$2000.00 (\$3000.00).





Current Policy Policy Option QC Regulations

Recipients of TANF cash assistance are automatically eligible for food stamps, a provision known as "categorical eligibility", and do not have to go through a separate food stamp eligibility determination process. In the wake of welfare reform, many needy families that are no longer receiving TANF cash assistance may receive other TANF-funded services or benefits. FNS gave states the option to extend categorical eligibility to families receiving TANF-funded benefits or services. States can determine which TANF-funded services or benefits confer categorical eligibility to food stamps.

TANF funding includes both TANF block grant and state maintenance of effort (MOE). FNS regulations state that households in which all members are receiving benefits or services from a program designed to meet the program goals of TANF and which are funded with more than 50% of federal TANF or state MOE funds would be categorically eligible for food stamps. A state may, at its discretion, confer categorical eligibility to households in which all members are receiving similar benefits or services from a program funded with less than 50% federal TANF or state MOE funds.

Thirty-four states extended eligibility for food stamps to households that are eligible to receive TANF-funded services or benefits. Many states conferred categorical eligibility only to households receiving TANF-funded benefits such as:

- Emergency Assistance
- Childcare
- TANF Transitional Transportation
- Newly designed programs
- Brochures that provide clients with information and referrals:
 - Delaware Pregnancy prevention brochure
 - o Michigan Information regarding Domestic Violence
 - Oregon Contact information regarding assistance with utilities, housing, child care, employment services and drug and alcohol treatment.
 - Maine Resource Guide for Families
 - Massachusetts Family Resource Brochure
 - Washington Information about department programs and referral to resources in the community

States are able to provide these TANF/MOE-funded services to all households, including elderly, disabled and childless adults, because the programs are designed to educate and serve all individuals in the community who wish to avail themselves of the service.

Example: During the food stamp application process, clients who may be financially ineligible for food stamps could become categorically eligible for benefits by virtue of having received a referral to a specific TANF-funded program.





Current Policy	Policy Option	QC Regulations
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The primary reason states conferred categorical eligibility was to increase access to food stamps by making households who are eligible for TANF-funded services automatically eligible for food stamps. Other benefits states cited were:

- Eliminating the need to calculate the value of a food stamp applicants assets
- Reduced administrative burden on eligibility staff
- Increase the number of children eligible for the School Lunch Program

Consideration: States have pointed out several difficulties that the Conferred Categorical Eligibility Option created.

- Many individuals made categorically eligible for food stamps through the receipt of a pamphlet or referral to a service may in fact not actually qualify for a food stamp benefit.
- Because many programs have multiple funding sources, it can be difficult to determine whether a particular program meets the TANF funding requirements.
- Variations from state to state.

Implementation of this provision could require modification of existing automated systems.

Simplified Self
Employment
Deductions – State
Option

For the period of time over which self-employment income is determined, the EW must:

 Add all gross selfemployment income, 7CFR273.11 page 720 - 721 Federal Register / Vol. 65, No. 225

States my elect to use a simplified self-employment standard deduction

In determining expenses, the reviewer must take into account which expenses are allowable based on certification policy.





Current Policy	Policy Option	QC Regulations
including capital gains, for the period of time over which income is determined.	calculation, a flat amount or fixed percentage or the standard amount it uses for its TANF program.	
 Subtract the cost of producing the self-employment income. Divide the remaining self-employment income by the number of months over which the income with be averaged. 	This is a state election and no data was available regarding state implementations.	
Allowable costs of producing income include, but are not limited to, the following: • The identifiable costs of labor, stock, raw materials, seed and fertilizer. • Payments on the principal of the purchase price of income producing real estate and capital assets, equipment, machinery, and other durable goods or on the principal for improvement to real		
estate.Interested paid to purchase income		







Current Policy	Policy Option	QC Regulations
producing property,		
capital assets,		
equipment, machinery		
and other durable goods.		
Insurance premiums		
paid on income		
producing property.		
Taxes paid on income		
producing property.		
Costs of repairs needed		
to property for general		
maintenance.		
 Identifiable shelter costs 		
needed for the business		
enterprise.		
·		

Current federal regulations contain requirements for determining the allowable costs that can be excluded the amount of self-employment income to be counted. Under the Simplified Self-Employment Deduction option, state may elect to develop a standard self-employment deduction, a flat amount or fixed percentage or use the standard amount the agency uses for its TNF program.

<u>Considerations:</u> Households benefit from reduced paperwork under the Simplified Self-Employment Deduction option. However, households with self-employment expenses could have their food stamp allotments reduced under this option. Implementation of this provision could require modification of existing automated systems.





	Current Policy	Policy Option	QC Regulations
Disregarding Child Support Payments from Non-custodial Parents Income – State Option	Financial eligibility of a household is based on gross or net income as described in Part XI A. Benefit level is based on net income which is defined as the total of all countable income, both earned and unearned, after the appropriate allowable deductions have been made. Child support payments paid by a household member to an individual or agency outside the household are deductible.	Federal Register / Vol. 69, No. 74 Section 4101 of FSRIA amended the act regarding child support payments by treating legally obligated child support payments made to non-household members as excluded income but offering State agencies the option to continue to treat the payments as an income deduction rather than as an exclusion. Section 4101 amends Section 5(d) of 7 USC 2014(d) to add legally obligated child support payments made by a household member to a non-household member to the list of income exclusions. States utilizing Disregard of Child Support Payments from Non-Custodial Parents Income: Arizona Colorado Illinois Louisiana Maine Massachusetts Nissouri New York	In making the variance determination, the reviewer needs to determine how the eligibility worker treated the income, if the worker correctly applied the certification policy, if the worker made any computational errors, if the recipient correctly reported income.

This provision allows states to exclude child support payments from the calculation of the non-custodial parent's net income. This option replaces current policy, which requires states to deduct such child support payments. Disregarding child-support payments from a household's gross income could also expand eligibility to additional non-custodial parents and may be easier to implement than income





	Current Policy	Policy Option	QC Regulations
deductions.			
Consideration: Impleme		re modification in automated system calc	culations.
Processing Timeframes for Initial Applications – Policy Modification	The local agency must provide eligible households that complete the initial application process an opportunity to participate, as soon as possible, but no later than 30 calendar days following the application date. If by the 30 th day the agency cannot take further action because of the household's delay, the household will lose it's entitlement to benefits for the month of application. In addition to the loss of benefits for the month of application, the agency must prorate benefits from the date the household completes its final task for processing the application. The local agency, however, must give the household an additional 30 days to take any required action.	The State agency has the option of holding the application pending for only 30 days following the date of the initial request for the particular verification that was missing. No further action by the State agency is required if the State agency chooses the option of holding the application pending for only 30 days following the date of the initial request for the particular verification that was missing, and the household fails to provide the necessary verification by this 30th day. This option would result in two clearly defined 30-day timeframes: A 30-day timeframe from the date of application A 30-day timeframe from the date of the interview On the date of the interview, the state must take an action	







Current Policy	Policy Option	QC Regulations
	 Mail the customer a missed appointment notice Complete the interview and case Provide the customer with a notice of pended information and offer assistance 	
	This single action would greatly mitigate the states liability for delays in processing.	

This provision would allow the agency to simplify the application process into two 30 day periods triggered by specific actions and eliminate the requirement to reopen and/or hold applications when pended verification is not provided within the initial 30 day period.

<u>Considerations:</u> Implementation of this provision could require modification of existing automated systems.





	Current Policy	Policy Option	QC Regulations
	NOOO		
	VSSS currently has a Waiver to act on all reported changes.		
Modification and Alignment of Change	This option mitigates the		
Reporting Policy –	reduced QC benefits of		
Policy Modification	Simplified Reporting by exposing the agency to a larger		
	number of change actions.		

States have substantial flexibility in each of the benefit programs to set rules concerning when customers must report changes in their circumstances that could affect eligibility or benefit level. Recent changes in the Food Stamp Program enacted as part of the 2002 Farm Bill now make it far easier for states to simplify and align change reporting rules across programs.

In general, the Child Care, SCHIP, and TANF programs allow states full discretion to establish rules related to when a recipient must report changes in their circumstances or update eligibility information. The Medicaid program allows substantial flexibility, but does not require states to have some mechanism for learning about changes that affect eligibility within a reasonable period of time. The Food Stamp program has some federal rules, but affords states broad discretion to adopt reporting rules as well. States can now adopt food stamp reporting rules, which require households to provide updated information for only a few eligibility factors every six months. This, in turn, now provides states that wish to align the reporting rules across programs with more options. In aligning policy, states can create a system in which households are not required to report any changes (except income changes that place the household above a certain level) in their circumstances during a 6 month period.

The VSSS has waivered its Simplified Reporting option to act on all reported changes which undermines some of its benefits. Acting on all changes counteracts the potential reduction in workload for caseworkers. Further, when the participant reports a change during the





Current Policy Policy Option QC Regulations

reporting period, having the waiver does not reduce exposure to errors in the way that the option does for states without the waiver. In short, the more changes caseworkers make, the more opportunity there is for a change to be processed incorrectly. In addition, in certain circumstances, a change might result in lower benefits for participants in states with this waiver as opposed to states without this waiver.

In April 2004, USDA proposed some revisions to simplified reporting regulations in order to help alleviate some of these complications with the waiver to act on all reported changes. USDA proposed that state agencies that have this waiver not be required to act on changes a household reports for another public assistance program when the change does not trigger action in that other program. This proposed change would simplify the procedure for caseworkers and, in some cases, eliminate the possibility that benefits would be reduced in states with this waiver. While this proposal addresses issues for caseworkers and participants in states with this waiver, in states without the waiver, this option is likely to introduce complications for caseworkers.

A recommended course of action to best take advantage of the opportunities afforded states in the 2002 Farm Bill would be for the VSSS to implement the following changes:

- Modify Food Stamp Simplified Reporting option to only act on changes that increase benefits
- Modify Medicaid policy to require households to only report when a household's gross monthly income exceeds the income limit for the Medicaid program
- Modify TANF policy to require households to only report when the household's gross monthly income exceeds the income limit for the TANF household size
- Modify Medicaid and TANF policy to only report when a covered household member leaves the household (household additions with income would be included under household income limits household additions without income would not affect the household eligibility)
- All non-required reports of change will be acted upon if requested by the household.

By focusing change policy on total household income and covered household members, the VSSS can:

- Further align policy across programs while protecting the states financial expenditures within TANF and Medicaid
- Dramatically reduce the number of reported changes requiring worker action
- Simplify the application of change policy by having income changes triggered only from a standpoint of programmatic ineligibility (TANF & Medicaid)

Required Household Change Reporting Table			
Program	Required Income Changes	Required Household Changes	



Waivers & Options



	Current Policy	Policy Option	QC Regulations
Food Stamps		sehold's gross monthly income 8% FPIL for the household size onth.	None
TANF		sehold's gross monthly income State Limit for the household gle month.	When a covered household member permanently leaves the household.
Medicaid		sehold's gross monthly income State Limit for the household gle month.	When a covered household member permanently leaves the household.

Examples:

A TANF/Food Stamp household reports that their gross monthly income has exceeded the state TANF limit. This would result in a TANF change but only result in a Food Stamp change if the household's income exceeded 133% FPIL.

A Medicaid/Food Stamp household reports that a covered household member permanently moved out of the house. This would result in a change in the Medicaid case but only create a change in the Food Stamp case if the change resulted in an increased Food Stamp allotment.





8.6. FEDERAL WAIVERS

To prepare for the BPR project, FDGS conducted considerable research into waivers that have been granted to states within the fairly recent past. While the full results of the research are found in Appendix H, the following table contains selected waivers, which would support the new business model.

SERIAL	PRISEC	SECSEC	STATE	ACTDATE	APPOFF	TYPE	ACTION	NARR	STATUS	COMMENT	SPECIF IC
0820066	274.10(g)(03)		DC	3/17/1982	NO	ı	Α	PHOTO ID NOT REQUIRED IN SSI/FS HOUSEHOLDS.	CUR		YES
0820072	273.02(j)(01)		OR	3/31/1982	NO	I	С	STATE AGENCY MAY CONDUCT SEPARATE INTERVIEWS FOR FS/PA HOUSEHOLDS IF HOUSEHOLDS NOT REQUIRED TO APPEAR FOR TWO SEPARATE INTERVIEWS AT TWO SEPARATE TIMES.	CUR		YES
0820093	273.21(j)	273.21(k)	lA	11/26/1982	NO	I	A	ALLOWS STATE AGENCY TO COMBINE REMINDER AND TERMINATION NOTICES.		ORIGINAL NUMBER ALLOWING NOTICE PROCEDURES CONSISTENT WITH AFDC. REGIONAL WAIVER NUMBER IA-001.	NO
0830995	274.10(g)(03)		NY	3/17/1983	NO	I	A	ALLOWS USE OF NON-PHOTO ID FOR ALL HOMEBOUND HOUSEHOLDS IN NEW YORK CITY ONLY.	CUR		YES
0834013	273.21(g)(04)		CA	6/17/1983	WR		A	INCOME FROM TERMINATED SOURCE IN FIRST AND SECOND MONTHS SHALL BE DISREGARDED IN CORRESPONDING BUDGET MONTHS.	CUR		NO
0834048		273.21(m)(02)	OR	3/11/1983	WR	I	A	USE OF COMBINED NOTICE.	CUR		NO
0834055	273.21(j)(03)		WA	6/3/1983	WR		Α	SINGLE TERMINATION NOTICE.	CUR		NO
0837040	273.21(j)(03)		SD	11/26/1982	MP		A	WHEN THE MONTHLY REPORT IS NOT RECEIVED OR IS INCOMPLETE, THE STATE AGENCY MAY SEND A CLOSURE NOTICE INSTEAD OF REMINDER AND ALLOW 10-DAY CURE PERIOD.		ALSO NUMBERED 830038. MEMO SAYS RO MAY APPROVE.	NO
0840026	274.10(g)(03)		TX	4/20/1982	NO	I	Α	PHOTO ID NOT REQUIRED, OR SUBSTITUTE ALLOWED.	CUR		YES







SERIAL	PRISEC	SECSEC	STATE	ACTDATE	APPOFF	TYPE	ACTION	NARR	STATUS	COMMENT	SPECIF IC
0840072	273.10(f)(03)		KS	2/10/1984	NO	I	А	TO SHORTEN THE CERTIFICATION PERIOD OF PA HOUSEHOLDS TO MATCH THE HOUSEHOLD'S NEXT AFDC OR GA REDETERMINATION.	CUR		YES
0844030	273.02(e)(03)		ID	12/5/1983	WR		С	WAIVE REQUIREMENT TO AUTOMATICALLY SCHEDULE SECOND INTERVIEW.	CUR		NO
0870005	272.08(g)(01)		MS	11/17/1988	NO	I	Α	STATE AGENCY MAY WAGE MATCH AT RECERTIFICATION.	CUR		YES
0870017	272.08(c)	272.08(a)(01)	CA	10/28/1994	NO	E	С	STATE AGENCY MAY USE STATE FTB DATA IN LIEU OF IRS DATA, SUBJECT TO CONDITION THAT STATE AGENCY CONDUCT AN ANNUAL MATCH WITH IRS.	CUR		YES
0870102	273.15(o)		TX	9/22/1987	NO	I	A	REPRESENTATIVE OF SA DOES NOT HAVE TO BE PRESENT AT FAIR HEARINGS BUT MUST BE AVAILABLE BY TELEPHONE.	CUR		YES
0890002	273.18(a)		FL	3/10/1989	NO	I	A	STATE AGENCY NOT REQUIRED TO ESTABLISH ADMINISTRATIVE ERROR AND INADVERTENT HOUSEHOLD ERROR CLAIMS UNDER \$35. APPROVED INDEFINITELY.	CUR		
0890112	273.06(b)(02)		AR	12/20/1991	NO	E	A	STATE AGENCY MAY POSTPONE SSN VERIFICATION OF NEWBORN INFANTS FOR TWO MONTHS. APPROVED INDEFINITELY.	CUR	APROVED INDEFINITELY.	YES
0900038	273.02(e)(01)		AR	9/29/1992	NO	E	A	TO PROVIDE ORAL SUMMARY OF HOUSEHOLD'S RIGHTS AND RESPONSIBILITIES AT RECERTIFICATION. STATE AGENCY MUST PROVIDE HOUSEHOLDS WITH PAMPHLET THAT EXPLAINS RIGHTS AND RESPONSIBILITIES.			YES
0900513	272.11(d)		CA	6/27/1990	NO	I	A	OMIT SECONDARY VERIFICATION PROCEDURES FOR REFUGEE APPLICANTS	CUR		YES
0910061	273.10(f)(03)		СО	1/8/1993	NO	E	С	TO EXTEND THE CERTIFICATION PERIODS OF PA HOUSEHOLDS TO A MAXIMUM OF 15 MONTHS TO ALIGN THE FOOD STAMP RECERTIFICATION AND THE PA REDETERMINATION. APPROVED INDEFINITELY.	CUR	APPROVED INDEFINITELY.	YES
0910073	273.02(e)(01)	272.04(a)(02)	NE	8/23/2004	NO	E	С	ALLOWS CONTRACT MEDICAID WORKERS AT OUTSTATIONED MEDICAID SITES TO ACCEPT FOOD STAMP APPLICATIONS AND CONDUCT FACE-TO-FACE INTERVIEWS. CASE WORKERS MUST COMPLETE APPLICATION PROCESS AND MAKE THE FINAL ELIGIBILITY DETERMINATION.	CUR		YES
0920004	273.02(h)(02)		WA	1/9/2001	NO	E	C	STATE CAN DENY BENEFITS BEOFRE THE 30TH DAY WHEN AN APPLICANT FAILS TO PROVIDE VERIFICATION. APPROVED INDEFINITELY.	CUR	INDEFINITE APPROVAL.	YES







SERIAL	PRISEC	SECSEC	STATE	ACTDATE	APPOFF	TYPE	ACTION	NARR	STATUS	COMMENT	SPECIF IC
0920076	273.10(f)		NM	9/14/1992	NO	I	С	TO EXTEND CERTIFICATION PERIODS OF EXPEDITED SERVICE HOUSEHOLDS SUBSEQUENTLY DETERMINED ELIGIBLE FOR PA OR GA WITHOUT A NEW ELIGIBILITY DETERMINATION FOR A MAXIMUM OF 12 MONTHS. HOUSEHOLDS MUST BE NOTIFIED THAT PERIOD MAY BE EXTENDED IF GA/PA APPROVED.	CUR	APPROVED INDEFINITELY.	YES
0930031	273.02(f)(04)	273.02(f) (01)	NE	4/14/2003	NO	E	A	ALLOWS SA TO ACCEPT THE HOUSEHOLD'S STATEMENT INSTEAD OF DOCUMENTARY EVIDENCE WHEN VERIFYING INTEREST INCOME OF \$10 OR LESS.	CUR	EXTENSION EFFECTIVE 7/1/2003	YES
0930096	273.10(a)		AR	11/24/1993	NO	Ī	С	TO BUDGET CHILD SUPPORT PAYMENTS RETROSPECTIVELY WHILE BUDGETING ALL OTHER HOUSEHOLD INCOME PROSPECTIVELY. APPROVED INDEFINITELY.	CUR	APPROVED INDEFINITELY	YES
0934002	273.18(a)		OR	8/30/1993	WR	I	А	WAIVES REQUIREMENT TO ESTABLISH ADMINISTRATIVE ERROR CLAIMS OF \$100 OR LESS.	CUR		NO
0937003	275.05		МО	8/13/1992	MP	Ī	A	ALLOWS THE STATE AGENCY TO IMPLEMENT A SPECIAL INITIATIVE PROGRAM TO REPLACE THE EXISTING MANAGEMENT EVALUATION SYSTEM.	CUR		NO
0940001	273.10(c)		NJ	2/1/1994	NO	I	С	TO BUDGET \$50 DEFRA CHILD SUPPORT PAYMENTS RETROSPECTIVELY WHILE BUDGETING ALL OTHER HOUSEHOLD INCOME PROSPECTIVELY. APPROVED INDEFINITELY.	CUR	APPROVED INDEFINITELY	YES
0940024	274.12(f)(10)		TX	12/4/2000	NO	E	A	CLIENT TRAINING BY MAIL ORIGINALLY, WAIVER ALLOWED COUNTY TRAINING BY MAILING THE MATERIALS TO THE HOUSEHOLD INSTEAD OF HANDS-ON TRAINING. WAIVER AMENDED TO ALLOW TRAINING MATERIALS TO BE HANDED TO HOUSEHOLD IF THEY VISIT THE LOCAL OFFICE.		APPROVED FOR LIFE OF EBT-2 SYSTEM.	YES
0950056	272.08(g)(01)		TX	6/28/1995	NO	I	A	THE STATE AGENCY WILL ACT ON ALL IEVS INFORMATION AT THE TIME OF RECERTIFICATION OR CASE TERMINATION, WHICHEVER IS EARLIER.	CUR		YES
0950083	273.02(f)(03)	273.10(d)(04)	TX	10/4/2002	NO	E	С	ALLOWS SA TO REQUIRE ADDITIONAL VERIFICATION FOR ERROR-PRONE HOUSEHOLDS IN CERTAIN PROJECT AREAS. VERIFICATION REQUIREMENTS MUST BE UNIFORM WITHIN THE PROJECT AREA AND MAY NOT BE APPLIED ON A CASE-BY-CASE BASIS.	CUR		YES
0960155	273.21(f)(02)	273.11(a)	WI	6/25/1996	NO	I	А	ALLOWS THE STATE AGENCY TO MAINTAIN PROGRAM CONSISTENCY WITH THE CURRENT TANF PROGRAM REGARDING THE TREATMENT OF SELF-EMPLOYMENT AND FARM INCOME.	CUR		YES







SERIAL	PRISEC	SECSEC	STATE	ACTDATE	APPOFF	TYPE	ACTION	NARR	STATUS	COMMENT	SPECIF IC
0960172	273.12(a)(02)		LA	9/20/2002	RO	E	С	WAIVER ALLOWS STATE TO EXTEND ITS WAIVER TO DEFINE THE DATE THAT AN EARNED INCOME CHANGE "BECOMES KNOWN TO THE HOUSEHOLD" AS "THE START DATE OF EMPLOYMENT". THIS WAIVER IS APPROVED ONLY FOR THOSE SITUATIONS WHERE THE HOUSEHOLD WOULD BE REPORTING AN INCREASE IN EARNED INCOME DUE TO A NEW JOB. HOUSEHOLDS WHICH INCUR A REDUCTION IN EARNINGS SHALL CONTINUE TO BE ALLOWED TO REPORT SUCH CHANGES IN EARNINGS WHEN THEY BECOME KNOW TO THE HH EVEN IF THE REDUCTION HAS NOT YET OCCURRED.	CUR	RO APPROVED WAIVER, NO EXPIRATION DATE GIVEN.	YES
0960175	273.02(e)	273.14	VT	8/9/1996	NO	I	A	WAIVES FACE-TO-FACE INTERVIEW AT RECERTIFICATION FOR HOUSEHOLDS CONSISTING ENTIRELY OF ELDERLY AND/OR DISABLED PERSONS WITH STABLE UNEARNED INCOME AND NO APPOINTED AUTHORIZED REPRESENTATIVE.	EXP		YES
0970124	273.18(c)	273.02(f)	TN	3/11/1997	Y	I	A	THE STATE AGENCY WILL USE WAGE DATA REPORTED QUARTERLY BY THE STATE DEPT. OF LABOR TO ESTABLISH MONTHLY INCOME AMOUNTS FOR CLAIMS CALCULATIONS BASED ON THE WEEKLY EARNINGS IN THE QUARTER BEING REPORTED. REGIONS ALLOWED TO APPROVE INDEFINITELY.	CUR	REGIONS AUTHORIZED TO APPROVE AND EXTEND INDEFINITELY.	YES
2004014	273.08(e)(18)		AZ	8/22/2000	WR	I	A	ALLOWS THE STATE AGENCY TO TREAT VEHICLES AS INACCESSIBLE RESOURCES.	CUR		NO
2010006	273.02(f)(01)		sc	12/18/2000	NO	I	A	ALLOWS STATE AGENCY TO ACCEPT A HOUSEHOLD'S SELF-DECLARATION OF INTEREST INOME FOR AMOUNTS OF \$10 OR LESS MONTHLY OR \$120 OR LESS ANNUALLY.	CUR		YES
2010058	273.12(a)(01)		NE	5/30/2001	NO	I	С	HOUSEHOLDS WITH UNEARNED INCOME FROM PRIVATE SOURCES WILL HAVE INCOME AVERAGED OVER THE CERT PERIOD AND WILL NOT HAVE TO REPORT A CHANGE IN THAT INCOME.	CUR		YES
2010188	273.02(g)(03)		CA	10/23/2001	N	E	С	WAIVER ALLOWS STATE TO IMMEDIATELY DENY AN APPLICATION WHEN THE HOUSEHOLD FAILS TO APPEAR FOR A SECOND SCHEDULED INTERVIEW. EXTENSION OF EXPIRED WAIVER 880056.	CUR	APPROVED UNTIL NOMI IS IMPLEMENTED	YES
2010192	273.12(a)		GA	7/15/2003	NO	E	A	SR WAIVER FOR HHS WITH EARNED INCOME AND ALLOWED THEM 10 DAYS AFTER THE END OF THE MONTH TO REPORT THAT MONTHLY INCOME EXCEEDS 130% OF POVERTY. 7/15/03 MODIFICATION ADDS MIGRANT AND SEASONAL FARMWORKER HHS AND HOMELESS HHS TO SR. THESE HHS WILL HAVE 6-MONTH CERT PERIODS.	CUR	APPROVED INDEFINITELY PER 12/2/02 E- MAIL FROM PW	YES







SERIAL	PRISEC	SECSEC	STATE	ACTDATE	APPOFF	TYPE	ACTION	NARR	STATUS	COMMENT	SPECIF IC
2020072	273.02(e)	273.02(e)	UT	4/21/2004	NO	E	С	APPROVES REQUEST FOR A WAIVER ALLOWING THE STATE TO REINSTATE RECENTLY TERMINATED HOUSEHOLDS WITHOUT REQUIRING THE HOUSEHOLD TO SUBMIT A NEW APPLICATION.	CUR		YES
2030036	273.12(b)(03)	273.129(e)	UT	6/27/2003	NO	I	С	APPROVES WAIVER ALLOWING THE STATE TO USE TELEPHONE INTERVIEWS IN LIEU OF FACE-TO-FACE INTERVIEWS AT RECERTIFICATION. SEE PAPER FILE FOR CONDICIONS	CUR		YES
2030076	273.12(a)(01)		SD	10/27/2003	NO	I	A	FOR CHANGE REPORTING HHS WHOSE SOLE SOURCE OF EARNED INCOME IS FROM ANNUALIZED SELF-EMPLOYMENT, APPROVES REQUEST TO WAIVE THE 6-MONTH MAXIMUM CERT PERIOD AND ALLOWS THE STATE TO LIMIT REPORTING CHANGES IN THE HH'S SELF-EMPLOYMENT SITUATION RATHER THAN CHANGES IN THE AMOUNT OF THE EARNED INCOME.	CUR		YES
2040010	273.14(b)(03)	273.02(e)(01)	LA	12/4/2003	NO	I	A	FOR HHS CERTIFIED FOR 12 MONTHS OR LESS, WAIVES REUIREMENT THAT THE STATE CONDUCT A FACE-TO-FACE INTERVIEW AT RECERTIFICATION. IN LIEU OF THE FACE-TO-FACE INTERVIEW, THE STATE MAY UTILIZE TELEPHONE INTERVIEWS.	CUR		YES
2040068	272.12(f)(05)		SD	8/31/2004	NO	I	A	WAIVER ALLOWS A RECIPIENT TO SELECT THEIR PIN THROUGH A SINGLE CALL TO THE ARU, AFTER THE ARU VERIFIES THE IDENTIFY OF THE RECIPIENT.	CUR		YES
2040078	274.12(i)(07)(i ii)		UT	9/24/2004	NO	I	A	WAIVER ALLOWS RECIPIENTS TO USE THE PIN THEY ALREADY HAVE FOR FSP BENEFITS TO MAKE CHILD CARE PAYMENTS. THE PIN WOULD BE ENTERED VIA THE TELEPHONE INTO THE ARU WITHOUT ENCRYPTON IN ORDER TO AUTHORIZE PAYMENTS TO THE CHILD CARE PROVIDER.	CUR		YES





9. Considerations for Managing Change

9.1 PLANNING AND COMMITMENT

The organizational impact of the new model will be significant. Business Process Reengineering does not focus on restructuring, but it is often one of the results from developing and implementing a new model.

Central Themes

• Communications among all the Business Functions must increase. With the current stovepipe structure, there is need for communication, but the stovepipes contribute to limiting interaction.

9.2 CRITICAL SUCCESS FACTORS

A critical success factor is an element that if missing, is likely to seriously deter the success of the project.

- 1. Commitment of management—Leadership and commitment from top management from both the State and localities are essential, or the implementation of the model cannot succeed. There must be a sustained commitment throughout the change management plan.
- 2. Information Technology support for
 - Robust automation of manual activities and processes
 - Implementation of the Business Modeling Laboratory, an essential element of every aspect of the business, including requirements analysis, system design, policy development, employee growth and development, and error prevention methods. The lab also facilitates a shift in focus from a technology-centered approach to information systems development to a human-centered approach.
 - Systems that support flexible access and the free flow of information to management and workers with proper credentials.
 - A focus on systems integration and the sharing of information between systems using data standards to provide consistency across the enterprise and to ensure common tasks are performed only once.
- 3. Effective Project Management Project managers must be focused on the needs of the business and the enterprise, not systems or program stovepipe specifics. Business analysts must learn to generate quality requirements to match the business needs, and should be involved in project management from concept to implementation.
- 4. An effective change management plan Change management must receive adequate resources. Lack of adequate planning and staffing leads to diminished priorities within the plan that leads to lethargy that leads to inertia that is difficult or impossible to overcome.
- 5. Continuous two-way communication with staff—Fear of change is normal. To allay fears, staff must be given the opportunity to know how they will be affected and what





opportunities the new model presents. They must be given an opportunity for feedback. The model is fully dependent upon continuing, ongoing communication and exchange of information of ideas and information among staff at all levels. Communication must go far beyond the typical flyers, e-mail, and briefings to announce the changes. Everyone in the organization must view change as the essential need and goal of the enterprise, and openly discuss how to best implement successful change.

- 6. Collaborative and cooperative team—VSSS must work as a cooperative team toward strategic goals. Staff must be flexible. Managers must be willing to re-deploy resources and change their paradigms that staff equals status. They must be willing to change the status quo for the good of the organization.
- 7. Transparent change for the public—The quality of customer service must be maintained or improved throughout the transformation. Change cannot disrupt business as usual for the public.
- 8. Continuous measurement of performance/benchmarking—Performance measurement, both for processes and for individuals, is vital to the success of the change. If performance is not measured, reduction in service will not be noticed until the decline is at a critical level.
- Plan for transition when people retire—An aging workforce puts VSSS at risk for losing a significant number of individuals with specialized expertise over the next five to ten years. The development of knowledge workers is essential to mitigate the effects of staff turnover.
- 10. New and ongoing modeling, testing and preparing—New systems can improve the work environment of the employees who use it, but if they do not know how to operate the system, they could be tempted to find ways to work around it. They must receive comprehensive training that meets their needs. Follow up training and training on new components that may be added along the way are at least as important as initial training.

It will be vital that VSSS pays attention to the critical success factors outlined within this section. Failure to do so may find the project floundering over the three to five year period ahead. Conversely, a total Department commitment to meeting the needs outlined above, and implementing incremental change along the way, will almost surely guarantee the success of the project.

